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ABSTRACT

The goal of the Job Training Partnership Act (JTPA) is long-term employability. To obtain feedback on the effectiveness of JTPA programs in promoting retention in the labor force, the U.S. Department of Labor (DOL) requires states and service delivery areas (SDAs) to collect information on the postprogram outcomes of JTPA participants. This technical assistance guide helps states collect data. This guide helps all those involved in the JTPA follow-up process to obtain accurate, valid data that meet the federal reporting requirements, provide an equitable basis for incentive awards, and yield useful information for program management decisions at all levels. In addition, it presents a detailed description of follow-up and validation strategies gathered in a recent study conducted for the DOL. This study surveyed follow-up staff in 50 states and the District of Columbia and Puerto Rico, plus 151 SDAs were surveyed to determine how follow-ups are conducted, how accuracy of data is ensured, and what strategies are used for follow-up data collection. The guide is intended to help users adapt existing procedures or adopt new strategies to improve information obtained. Eight references, 8 appendices, and 21 exhibits are included in this report. The appendices include: (1) JTPA Annual Status Report and Instructions; (2) Worker Adjustment Annual Program Report and Instructions; (3) Example of State Follow-up Questionnaire; (4) Sample Request for Proposal for Follow-up Contractor; (5) How to Select a Random Sample; (6) Selected Survey Research References; (7) Procedures to Adjust for Nonresponse Bias; and (8) Follow-up Software. (NLA)

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Technical Assistance Guide for JTPA Follow-Up and Validation

March 1990

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Preface

Passage of the Job Training Partnership Act (JTPA) in 1982 provided an innovative approach to employment and training, designed to address an important social and economic issue: Can American society bring unemployed or hard-to-employ individuals into or back into the productive workforce through a partnership of industry and government aimed at job training? Unlike previous employment and training programs, JTPA is based on specific performance standards designed to assess the effectiveness of ongoing programs and to reward programs that are effectively achieving the goals of JTPA.

The bottom-line goal of JTPA is long-term employability--participation in the workforce that goes beyond short-term placement in a job. To obtain feedback on the effectiveness of JTPA programs in promoting retention in the labor force, the U.S. Department of Labor (DOL) required States or SDAs to collect information on the postprogram outcomes of JTPA participants, beginning October 1, 1986. Since that time, States or SDAs have been collecting data about the employment status and earnings of JTPA terminees during the 13-week period after leaving the program.

To help States and SDAs collect follow-up data, the U.S. Department of Labor, Employment and Training Administration (ETA), issued the **Follow-up Technical Assistance Guide for Postprogram Data Collection (TAG)** in June 1986. In Program Year (PY) 1988, some States began to include in their incentive award calculations the SDA's performance on one or more of four postprogram performance measures. Consequently, valid and accurate follow-up data became a critical concern to ensure that incentives are distributed fairly among SDAs.

This **Technical Assistance Guide for Follow-up and Validation** (TAG) is an update of the earlier TAG. It is designed to help all those involved in the JTPA follow-up process obtain accurate, valid follow-up data that meet the federal reporting requirements, that provide an equitable basis for incentive awards, and that yield useful information for program management decisions at all levels.

In addition to providing current information on JTPA follow-up requirements, the TAG presents follow-up and validation strategies gathered in a recent study conducted for the DOL by The American Institutes for Research (AIR), Palo Alto, California. Follow-up staff in 50 States plus the District of Columbia and Puerto Rico, and 151 SDAs were surveyed to determine how follow-ups are being conducted, what efforts are taken to ensure the accuracy of the data collected, and what strategies are helpful in obtaining valid follow-up data. A detailed description of this study, including methodology, results, and recommendations, appears in AIR's **Final Report: Study of JTPA Postprogram Follow-up Validation.**

The TAG is not intended to be a complete set of instructions for designing and implementing a follow-up system. Rather, it is intended to help States, SDAs, SSAs, and independent follow-up contractors adapt existing procedures or adopt new strategies to improve the follow-up data collection and to enhance the accuracy, validity, and ultimately the usefulness of the information obtained.

We wish to acknowledge the many agencies and individuals who contributed information and insight toward the preparation of this TAG. Appreciation goes to State, SDA, and contractor staff who graciously participated in the follow-up and validation telephone survey. Special thanks go to the following staff who participated in site visits: Missouri--Sandra Owens, Missouri Department of Economic Development, and Jim Marcantonio, PIC SDA 5, Inc.; Nevada--Chuck Moltz, Nevada Job Training Office, and Keith Schwer, Center for Business and Economic Research at the University of Nevada, Las Vegas; New Jersey--Michael Lysak, New Jersey Department of Labor, Leona Tanker and Cathy Mayfield, Camden County SDA, and Ken Ryan, Employment and Training Institute.

We thank also the following members of the Technical Review Network who reviewed and provided valuable suggestions for the survey instrument and this TAG: Terri Bergman, National Alliance of Business; Jose Figueroa, National Governors' Association; Paul Fredericks, DOL/ETA Region V; Steve Marcus, formerly with Massachusetts Department of Employment and Training; Greg Marutani, PIC of San Francisco, Inc.; John Mickiewicz, DOL/ETA Region II; Lynn Myers, Georgia Department of Labor; Sandra Owens, Missouri Department of Economic Development; Ray Worden, National Commission for Employment Policy; Richard West, SRI International; and Alice Worrell, State of Ohio JTPA.

Our colleagues at DOL/ETA--Karen Greene, John Marshall, Martha Muirhead, and especially our project officer, Gail Borchers--are appreciated for their support and assistance throughout the project. And finally, thanks to colleagues at AIR: to Donald McLaughlin, Roger Levine, and Marie Dalldorf, whose collective dedication resulted in a successful survey and this Technical Assistance Guide.

For additional information or clarification of information presented in the TAG, please contact Steve Aaronson and his staff at 1-(202)-535-0687.

Jean Wolman
Associate Research Scientist, AIR

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Section 1 - Overview of Follow-up and Validation

This overview includes an introduction to JTPA follow-up and validation and a description of the purposes and organization of this Technical Assistance Guide for JTPA Follow-up and Validation (TAG).

1.1 Introduction

Since October 1, 1986, States have been required to collect and report to the U.S. Department of Labor (DOL) selected postprogram data at the Service Delivery Area (SDA) level for all adult and adult welfare terminees served under Title II-A, and at the Statewide level for terminees served under Title III. Beginning in Program Year (PY) 1989, States are required to collect similar postprogram data on a Substate Area (SSA) basis for terminees of the Economic Dislocation and Worker Adjustment Assistance Act (EDWAA) program.

The postprogram data collection requirements are based upon three performance measures that describe the labor market experiences of former JTPA participants over the prescribed 13-week follow-up period. These measures include the employment rate during the 13th full calendar week after program termination; the average gross weekly earnings of employed terminees during the 13th full calendar week after program termination; and, for all respondents, the average number of weeks employed during the 13-week follow-up period.

Beginning in PY 1988, these performance measures were used to award monetary incentives to SDAs that exceeded their standards. To assure that incentives are awarded equitably and that the adjustment models are adequate, it is essential that the follow-up data be accurate and valid and that the procedures used to collect these data be consistent and thorough. **Without assurance of accuracy, validity, and uniform data collection procedures across SDAs/SSAs[*] in each State, incentive funds may not be awarded fairly, and follow-up data may not confidently be used in program management and evaluation.**

Implementing an effective follow-up system that meets these criteria requires the commitment and motivation of every individual involved in the follow-up process--from the JTPA terminees who provide the information, to the local SDA/SSA or contractor staff who help to locate the participants, to the follow-up interviewers who collect the information, to the JTPA officials at all levels who report and use the information. These individuals must clearly understand the purposes of follow-up, appreciate the potential usefulness of the data, and be motivated to do what it takes to obtain complete, accurate, valid information from as many terminees as possible. Ongoing communication among these individuals is essential also to ensure the timely transmission of information, to produce maximum response rates, and to provide adequate monitoring and quality control that will assure accurate, valid results.

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[*] In subsequent sections of this TAG, SDA is generally used to refer to SSAs, as well as SDAs.

Purposes of the TAG

This TAG is a supplement to the Instructions for the JTPA Annual Status Report (JASR) and the Worker Adjustment Program Annual Status Report (WAPR). An update of the original Follow-up TAG for Postprogram Data Collection (Version 3.0, June 1986), it is designed to help States, SDAs, SSAs, and independent follow-up contractors to:

- understand and apply the DOL follow-up requirements for data collection and reporting
- implement effective strategies for obtaining high response rates and valid follow-up data
- obtain accurate, valid follow-up data that provide the basis for the fair and equitable award of incentives
- use the information effectively for Federal, State, and local program planning and evaluation

Because States and SDAs have been developing and implementing JTPA follow-up since PY 1986, they have had an opportunity to learn what strategies have or have not been effective in obtaining valid follow-up data within their particular setting. This TAG will provide States and SDAs an opportunity to assess what has and has not worked in conducting follow-up, as well as an opportunity to consider adopting strategies that have been used effectively elsewhere as part of an ongoing effort to evaluate and improve JTPA program components.

Organization of the TAG

The TAG is organized into the following four sections:

Section 1 - Overview of Follow-up and Validation

Section 2 - Collecting Follow-up Data

Section 3 - Reporting Follow-up Results

Section 4 - Assuring the Accuracy and Validity of Follow-up Data (Validation)

Each section is divided into subsections according to critical tasks involved in the follow-up and validation process. Requirements are presented at the beginning of each subsection, where applicable, followed by recommended strategies for meeting the requirements and enhancing accuracy and validity. Illustrative tables, figures, and samples appear as exhibits within the text. Additional resource materials appear as appendices.

Once it has been read from beginning to end, the TAG is intended to be a reference guide. Certain sections of it will be more useful to those individuals who are responsible for the corresponding follow-up tasks. Use the section and subsection headings to determine which sections are most appropriate for your needs. For example,

- Everyone involved in the follow-up process should be familiar with the Overview in Section 1.

- Staff responsible for collecting the follow-up data--particularly interviewers and their supervisors--should focus on Section 2, Collecting Follow-up Data.

- Those involved in data analysis and reporting as well as staff involved in management and program evaluation should refer to Section 3, Reporting Follow-up Results.

- All persons involved in collecting, processing, reporting, and supervising follow-up activities should refer to Section 4 on Validation.

1.2 Federal Requirements for Collecting and Reporting Follow-up Data

Performance standards for PY 1988 and beyond include three postprogram measures, each of which reflects a different aspect of the labor market experiences of former participants during the 13 weeks following termination from a program. States and SDAs (or SSAs in the case of EDWAA) are required to report these measures separately for Title II-A adults, Title II-A adult welfare recipients and dislocated workers. No follow-up information is required for Title II-A youth.

Required Follow-up Data

The follow-up measures include:

1. **Employment rate at follow-up**

   This measure is defined as the percentage of total respondents (those with completed interviews) who were employed full-time or part-time during the 13th full calendar week after termination:

$$\frac{\text{Number of respondents employed at follow-up}}{\text{Total number of respondents}} \times 100$$

2. **Average weekly earnings (of employed respondents) at follow-up - Title II-A**

   For Title II-A, this measure is defined as the sum total of gross (before tax, health and other deductions) **weekly** earnings of employed respondents during the 13th follow-up week, divided by the total number of respondents **employed** during the 13th full calendar week after termination. Average weekly earnings is based upon **only** those respondents employed during the 13th follow-up week:

$$\frac{\text{Total gross weekly earnings of respondents employed during the 13th week}}{\text{Total number of respondents employed during the 13th week}}$$

Average hourly wage (of employed respondents) at follow-up - EDWAA

For EDWAA, this measure is defined as the sum of gross (before tax, health and other deductions) **hourly** wage rates of employed respondents during the 13th follow-up week, divided by the total number of respondents **employed** during the 13th full calendar week after termination. Average hourly wage is based upon **only** those respondents employed during the 13th follow-up week:

$$\frac{\text{Sum of gross hourly wage rates of respondents employed during the 13th week}}{\text{Total number of respondents employed during the 13th week}}$$

3. Average number of weeks worked in the follow-up period

This measure is defined as the **sum** of the number of weeks worked during the full 13-week period by **all** respondents, divided by the **total** number of respondents. This results in an average number of weeks worked in the follow-up period for all respondents regardless of whether they worked at all during the 13-week postprogram period:

$$\frac{\text{Total number of weeks worked in the 13-week follow-up period for all respondents}}{\text{Total number of respondents}}$$

In addition to these measures, the overall response rate and the sample size must be reported on the JASR/WAPR for adults, adult welfare recipients, and dislocated workers. These items are being used to develop a statistically sound, nationally representative database to support valid postprogram standards and adjustment procedures.

Instructions for completing the PY 1989 JASR and WAPR appear respectively in Appendices A and B. (Follow-up information appears in Section III of both reports.)

Required Response Rates

When information from follow-up interviews is used for making critical decisions, the validity of the information must be assessed. One criterion for assessment is the response rate. The response rate is the percent that actually **responded completely** to the questionnaire out of the total number of **possible** respondents. (An interview is complete only if the respondent answers **all** of the required questions.) The lower the response rate, the lower the degree of confidence in the follow-up data. Having confidence that SDAs are performing well or poorly is critical when States reward or sanction SDAs. By establishing **minimum required response rates**, the DOL ensures that data are adequate for statistical modeling and that the States can be confident of meeting the DOL guidelines for postprogram standards.

Minimum response rates of **70 percent** must be obtained for each of the following six groups:

- Adults Employed at Termination
- Adults Not Employed at Termination
- Adult Welfare Recipients Employed at Termination
- Adult Welfare Recipients Not Employed at Termination
- Dislocated Workers Employed at Termination
- Dislocated Workers Not Employed at Termination

These requirements apply to each SDA/SSA for Title II-A and EDWAA, and to each State still reporting follow-up data for Title III.

Nonresponse bias is a problem that develops when certain groups are systematically over- or under-represented in the completed follow-up interviews. Differences in response rates between respondents who were employed at the time of termination and those who were not employed may bias the data: People who are employed at termination are more likely to be working at 13 weeks; consequently, they may be easier to locate, have higher earnings, and work more weeks in the 13-week period than people who were not employed. If people employed at termination are over-represented in the completed follow-up interviews, it is more likely that the follow-up data will be biased toward higher employment rates and higher earnings.

For this reason, **maximizing response rates for all groups of terminees is important to all States and SDAs involved in follow-up.** Special attention should be given to successfully contacting and interviewing terminees who were not employed at termination. Where the response rates between these two groups are substantially different, adjustments for nonresponse bias must be made. Complete instructions for making these adjustments are in Section 3.1, Calculating Follow-up Statistics.

Additional, Optional Follow-up Information

The follow-up information described above are the minimum data that must be collected and reported to DOL to support the development and implementation of postprogram performance standards. In order to increase the value of the follow-up information for program planning, management, and evaluation, States and SDAs should carefully consider collecting additional information beyond the required data.

In considering the collection of additional information, keep in mind that most of the time and expense required to collect follow-up information stems from locating and contacting terminees, not from conducting the interviews. Given the fixed cost of simply reaching the respondents successfully, it can be very efficient and cost effective to gather additional information.

Additional information might include any or all of the following:

- **Attitudes and opinions regarding JTPA training:** A critical area to consider is collecting information regarding respondents' perceptions of the quality and value of the training received, their need for additional services, and suggestions for program changes. Asking such questions is useful for monitoring and evaluating programs and service providers, identifying problems, providing helpful feedback to service providers, and establishing immediate rapport with follow-up respondents.

  Examples: How and why did you enroll in JTPA?
  Was JTPA useful in getting or keeping a job?
  How would you rate the program?
  What was the best thing about the program? worst?
  What one thing would you do to improve the program?

- **Employment history since leaving JTPA:** Collecting information on terminee employment status and activity throughout the 13-week follow-up period can provide information that will also be useful in evaluating programs and making critical management decisions.

Movements into and out of the labor force can be tracked, as can shifts between jobs and between employment and additional education and training. Detailed information can be collected about particular jobs, including hours, wages, benefits, occupation, industry, name and location of the firm, and opportunities for advancement. Information on EDWAA/Title III terminee industry and occupation is particularly important since the goal is to re-employ workers in new industries and occupations. Interviewers can gather this information through a series of structured questions, using the reference week, a calendar, and time cues to jog the respondent's memory.

Examples: If currently employed: What is your job title? hours worked? fringe benefits? medical benefits?

If not employed: Are you currently looking for a job? If yes, how are you looking? If no, what is the reason you are not looking?

- **Receipt of other benefits.** In keeping with JTPA's goal to reduce welfare dependency, collecting information on the respondent's welfare status (e.g., type of welfare, benefit amount) may be considered. Consider also collecting data on the respondent's receipt of unemployment insurance and disability benefits.

  Example: Are you currently receiving any form of public assistance? If yes, how much are you receiving? from whom?

Appendix C presents an example of one State's questionnaire.

Additional, Optional Follow-up Data Collection

In addition to collecting supplementary information from respondents, States and SDAs may consider collecting other data that can be useful for broader management and evaluation needs. Specifically, data for **additional groups of terminees** can provide information on a wider range of JTPA participants than Title II-A adults and dislocated workers. Data on **additional periods** besides the 13 weeks after termination can provide valuable information on longer-term retention and earnings.

- **Groups of terminees.** In addition to collecting information for the required groups (Title II-A adults and adult welfare recipients and EDWAA/Title III dislocated workers), States and SDAs can collect data for other groups: Title II-A youth, Title II-A 3%/8% special projects, Title II-B summer youth, and Title IV-C veterans. If large enough numbers are involved in the program, you can also select a sample of a group, selected by service provider and/or program.

- **Reporting Periods.** In addition to collecting information for the prescribed 13-week follow-up period, States and SDAs may consider collecting data at additional intervals--for example, 26 or 52 weeks after termination. Some States conduct 26-week and/or 52-week follow-ups to gather information on longer-term retention and wage growth. The nature of programs for dislocated workers (EDWAA/ Title III) especially suggests that substantial change in earnings, occupation, and industry might only occur over a longer period of time than 13 weeks. Some SDAs also conduct interim 30- or 60-day follow-up to maintain contact with **all** terminees prior to the required follow-up or to gather information needed for local vendor monitoring.

- **Data Sources.** In addition to the use of participant interviews, States may consider using employer surveys and/or administrative record data to supplement their postprogram data collection efforts. **These additional sources, of course, cannot be used for JASR/ WAPR reporting in lieu of information gathered directly from JTPA terminees.**

Summary of Requirements and Options

Exhibit 1.1 summarizes the DOL follow-up requirements and options discussed above as well as additional requirements described in subsequent sections.

Exhibit 1.1

JTPA Follow-up Data Collection: DOL Requirements and Options

Requirements	Options
WHO	
1. All II-A Adult Terminees*	1. II-A youth terminees
2. All II-A Adult Welfare Terminees*	2. 3%, 8% terminees
3. All EDWAA Terminees*	3. II-B summer youth
* or sample if planned number is more than 137.	4. Selected target groups (out of school youth, offenders, etc.)
WHEN	
Data collected following 13th full week after termination and before 18th full week after termination	1. 26 weeks after termination 2. 12 months after termination
Data recorded on JASR/WAPR within 45 days after end of Program Year	
WHAT	
1. Employment rate at follow-up	1. Attitude/opinions
2. Average weekly earnings (II-A) of employed respondents only (average hourly wage for EDWAA)	2. Labor force status 3. Employment information
3. Average number of weeks worked at follow-up for all respondents	4. Dependency status
HOW	
1. Questionnaire by phone or in person	For 26 week or 12 month follow-up, mail or employer contact could also be used.
2. Mail, if no telephone	

1.3 Using Follow-up Information for Program Evaluation and Management

The purpose of collecting accurate JTPA follow-up data is much broader than meeting Federal reporting requirements. Follow-up systems should be designed as an integral part of JTPA program management at the local, State, and Federal levels. However, because JTPA postprogram standards and the requisite follow-up process are relatively new components of JTPA, States and SDAs focused during PY 1986-88 on designing and implementing follow-up data collection systems to meet the minimum reporting requirements. Although States and SDAs acknowledge the value of follow-up data, they sometimes lack the energy and resources required to use these data to their full potential.

One of the most challenging aspects of postprogram follow-up is using the follow-up as a tool for reviewing and improving JTPA programs and performance standards at the Federal, State, and SDA levels. The relatively recent introduction of follow-up standards reflects JTPA's increasing emphasis on long-term employability. As such, making follow-up an integral part of JTPA program evaluation and management by providing accurate and timely follow-up information is critically important.

Uses of the Follow-up Data

Using follow-up information to evaluate and improve JTPA programs at the State and local levels, and as a source for developing national standards, has many implications for decisionmakers and managers at all levels. Follow-up data may present evidence of JTPA's success to government officials and lawmakers, representatives from business and industry including PIC members, and the public at large, and thereby can strengthen JTPA's credibility. In addition, officials at the Federal, State and local levels can consider follow-up data for key planning decisions related to overall service mix and client targeting. By linking demographic and program information with follow-up data, they can compare the effectiveness of various program activities from a longer-term perspective.

At the State level, in addition to using follow-up data in the granting of incentive awards to SDAs, follow-up information can be used to develop and encourage statewide coordination of programs. Favorable follow-up results can demonstrate the credibility and effectiveness of JTPA and thereby facilitate the establishment of statewide collaborative efforts. States may also find follow-up data useful in determining where technical assistance is needed and in evaluating the effectiveness of State-level program initiatives--for example, comparing the pre- and postprogram wages and employment status of EDWAA/Title III dislocated workers to determine how effective the JTPA program was.

Follow-up data can play a critical role at the local level also. By assessing the employment status and earnings of participants 13 weeks after termination, SDAs can improve program monitoring and contract reviews. In particular, follow-up information can be used to assess individual service providers more comprehensively, compare the effectiveness of various program activities, and evaluate the quality of services provided to specific target groups. SDAs could integrate follow-up criteria into performance-based contracts to provide assurance of results that go beyond enrollments, completions, and simple placements. In addition, SDAs can use follow-up data to evaluate their internal client services. For example, if the data suggest poor retention after OJT placements, an SDA might examine the extent to which inadequately prepared clients are referred to OJT or whether the OJT employers are more interested in temporary training subsidies than in training permanent employees. By improving accountability for longer-term employability, SDAs can significantly improve their job training and placement services.

At the local level also, follow-up information should be used by PICs to periodically review the bottom-line results of JTPA programs in relation to expected performance. Follow-up standards provide the PIC with a measure of results and the beginning of an answer to the important question: Are local JTPA programs increasing long-term employability and earnings of their participants? Follow-up information can also be used to evaluate the quality of the jobs and benefits provided by employers, particularly if additional information regarding benefits (e.g., medical and paid leave) is collected.

In summary, follow-up data, linked with appropriate information such as selected demographic variables, training programs, and service providers, can be an invaluable tool to:

- Monitor overall JTPA effectiveness in terms of long-term employability goals

- Predict welfare reduction and other long-term impacts

- Evaluate and compare the effectiveness of different JTPA programs and service providers

- Identify problems in programs and service providers that require further monitoring or corrective actions

- Assess follow-up results in terms of labor market conditions (average wage, unemployment rate, population density, number of families below the poverty level)

- Analyze follow-up results in terms of important demographic factors (sex, age, ethnicity, welfare status)

- Compare current follow-up results with previous results to identify trends, identify problems, and recommend corrective actions

- Compare follow-up results with the performance of similar SDAs or States

- Identify and provide outreach to clients who require further services

- Provide vital information on program effectiveness to PICs and State Job Training Councils responsible for planning and oversight

- Provide the basis for technical assistance to States, SDAs, and follow-up contractors

Importance of Communicating Follow-up Results

Depending on the level of decisionmaking, the follow-up data can be used on an individual SDA-basis only or aggregated by States or the Federal Government to provide broader indicators of program effectiveness. In order for the data to be of any use, **it is essential that JTPA staff at all levels be informed about the follow-up results in a timely manner.** For example, in order for SDA staff to monitor, evaluate, and improve local JTPA programming, they must have prompt access to follow-up information, whether the data are collected at the local or State level. Similarly, for management decisions, like establishing incentive policies, that are made at the State level, follow-up information must be made available to State decisionmakers. Finally, for management decisions, like setting performance standards, that are made at the Federal level, the follow-up information must be forwarded to and used by DOL.

Involving All JTPA Staff in the Follow-up Process

Involving JTPA staff at all levels in the initial planning and design of follow-up is highly recommended. In particular, States and SDAs should consider the benefits of collecting additional information, beyond the required follow-up data, that will help program evaluation, reporting, and decisionmaking at both levels. Involving everyone in the planning, implementation, and utilization of follow-ups is highly motivational as well: everyone is more likely to "buy into" and support follow-up as a valuable part of JTPA programming and evaluation, and will be more committed to producing accurate and valid follow-up information. Communicating the results of the follow-up to all involved is especially critical to reinforcing its importance and usefulness to JTPA staff at all levels.

Limitations in the Usefulness of the Data

Despite the value of using follow-up information, decisionmakers need to understand the limitations of even completely accurate information obtained on all terminees in an SDA. The meaningfulness of the data depends on size of each group being examined. For example, a small SDA that wants to evaluate different programs in terms of their follow-up employment rates might not be able to make reliable conclusions based on small numbers of terminees from each program. A more detailed discussion of the limitations in interpreting follow-up data appears in Section 3.2, along with guidelines for using the data appropriately.

1.4 Organizing the Follow-up Interviewing

Organizing the follow-up interviewing requires joint decisions by States and SDAs on two issues: (1) whether the interviewing should be centralized Statewide or decentralized (conducted by SDAs), and (2) whether the interviewing should be conducted in-house or by an outside follow-up contractor. These decisions have implications for both States and SDAs in terms of quality control, staffing, financial resources, and fair distribution of incentives across SDAs.

Since the beginning of required follow-ups in October 1986, States and SDAs have adopted and sometimes changed their follow-up systems to best meet their individual management needs and their available resources. The majority of States have centralized follow-ups as indicated in Exhibit 1.2, which presents the types of follow-up systems in place during PY 1987 and 1988:

Exhibit 1.2

Number of States* and Types of Follow-up Systems

	PY 1987	PY 1988
Centralized Follow-up		
State - In-house	12	11
State - Outside contractor	24**	26**
Decentralized Follow-up (SDAs)	16	15

*includes District of Columbia and Puerto Rico
**includes one State which is centralized except for one SDA

Regardless of the model adopted, States, SDAs, and outside contractors, where involved, must continually communicate and cooperate in implementing, evaluating, and modifying the follow-up system to assure accurate and valid results. In evaluating your system, consider the effectiveness of your current follow-up in terms of the advantages and disadvantages discussed below.

Centralized vs. Decentralized Follow-up

Beginning with PY 1990, all States will grant incentive awards to SDAs based to some degree on postprogram performance. The **benefits of centralized follow-up** are related closely to the equitable distribution of these awards. First, a centralized system, whether operated in-house or contracted out, has **better monitoring and quality control**. This stems from the administrative efficiency of operating a single, centralized effort and the resultant consistency of follow-up procedures implemented across all SDAs in the State.

Second, by centralizing the effort, States can more easily ensure that the data have been collected and reported in an objective, consistent, and comparable way. When data are collected by persons directly involved in the program being studied (i.e., by SDA staff), they may be subject to criticism as being biased. In addition, uniformity of procedures enhances the utility of the information by allowing comparisons to be made across target groups, programs, and geographic areas. States can grant incentive awards based upon follow-up data, confident that the monies have been awarded equitably among SDAs across the State. Providing the same assurance for a decentralized process may require extensive State monitoring.

Third, a centralized system can be more **efficient and cost-effective**, particularly where there is a statewide MIS capability. Centralization allows administrative economies of scale to be realized through lower fixed or negotiated costs. Centralization also diminishes the duplication of effort needed to monitor, validate, and provide technical assistance for follow-ups in each of the SDAs throughout the State. The need for monitoring and validation is discussed in greater detail in Section 4 of the TAG.

The **advantages of a decentralized system** in which SDAs conduct follow-up, however, should not be overlooked. First, SDAs in control of their own follow-up may be able to produce higher response rates because of greater familiarity with their terminees and more thorough and timely access to information needed to track and locate terminees. Second, SDA staffs are better able to stay in touch with terminees, provide outreach services, and be aware of the longer-term outcomes of their programs. Third, SDAs that "own" the follow-up may be more motivated to use the data for local planning, management, and evaluation needs; can customize their follow-up to better meet these needs; and have immediate access to the data. Conversely, they often lack the resources and training to accomplish comprehensive follow-up.

The decision to centralize or decentralize the follow-up effort requires the close involvement of both State and SDA-level staffs in defining mutual roles and responsibilities and in cooperatively implementing the follow-up process.

In-house vs. Contracted Follow-up

Whether centralized or decentralized, follow-ups can either be conducted by in-house staff or contracted out to private or public survey research organizations. The advantages to keeping the follow-up **in-house** are that the time and effort involved in the procurement process are avoided and the additional costs involved in an outside contract are not incurred. Monitoring the follow-up process is easier, and the risk of hiring a poor contractor is eliminated. With in-house interviewing, however, existing staff may be burdened with the additional responsibilities of follow-up or extra staff must be found and trained to do the interviewing. The work load may fluctuate, requiring changing levels of staffing. Staff may be unable to work during evening and off-hours when most terminees can be reached.

Hiring an experienced contractor has several advantages. A carefully selected contractor can implement a follow-up system efficiently, with minimal startup problems and minimal disruption to ongoing State or SDA operations. A qualified contractor should have the survey research facilities and capabilities to conduct quality, low-cost interviews and to produce high response rates. For example, contractor staff are prepared to do interviewing evenings and weekends, while State or SDA staff may be reluctant to work such schedules. A contractor is highly motivated to produce high response rates in order to retain the follow-up contract. Finally, a contractor can enhance the public perception of follow-up as objective and impartial, and thereby improve the credibility of the data since the contractor has no vested interest in the follow-up results.

If you decide to hire a contractor, be sure to assess the organization's capabilities carefully. Look for these characteristics in a contractor:

- previous experience conducting interviews with programs and participants similar to those in JTPA--preferably familiarity and previous experience with JTPA follow-up and with economically disadvantaged populations

- track record in achieving high response rates in telephone surveys with similar clientele

- adequate telephone interviewing facilities, including multiple phone lines

- an incoming, toll-free 800-line

- a compatible MIS system that can receive, process, and transmit data to the State or SDA agency

- adequate staff and staff training (including, if necessary, bilingual interviewers for terminees with limited English ability)

- reasonable cost per completed interview

In issuing a Request for Proposal (RFP) for prospective contractors, you should include the essential requirements for all anticipated work including any monitoring and verification efforts required, the frequency and format of reports, and any option for contract renewal. Also include specifications for minimum levels of performance, such as response rates, or penalties for missing deadlines and for errors or omissions. The RFP can be relatively brief and to the point; an example appears in Appendix D.

General Guidelines to Promote Accurate and Valid Follow-up Data

Whether your follow-up is centralized or decentralized, conducted in-house or by an outside contractor, it is important to motivate everyone involved in the follow-up process to produce accurate, valid follow-up data and maximum response rates. Each group involved in the follow-up (State, SDA, and/or contractor) depends on the other for various parts of the process: sampling, locating and contacting respondents, interviewing, reporting, and using the data. The following practices should promote accurate and valid follow-up data:

- Establish clear and specific procedures for meeting follow-up requirements, and distribute these procedures to all involved in follow-up.

- Assign specific roles and responsibilities to each person involved in the follow-up--at the State, SDA, and/or contractor level.

- Devise a system to provide current, accurate contact information to the JTPA agency or contractor conducting follow-up.

- Publicize, promote, and communicate the importance of follow-up throughout the JTPA system--to clients, service providers, employers, follow-up contractors, and SDA and State staff.

- Assess the follow-up system you have been using to determine what has worked well and what has not; modify your system appropriately to improve results.

- Consider using incentives and/or sanctions, making sure that the incentives do not themselves introduce bias or temptation to misrepresent results. States and SDAs have effectively used incentives such as these:

    - Minimum response rates required to receive full State incentives for postprogram measures and/or contractor payments

    - Contractor payments based on number of completed interviews

    - Interviewers rewarded for completed interviews

- Rapidly communicate the follow-up results to all involved in the process to encourage use of the data for planning and evaluation purposes and to reinforce future follow-up efforts.

Section 2 - Collecting Follow-up Data

This section presents the requirements and recommendations for collecting follow-up data, including sampling (selecting terminees for follow-up); timing (defining the follow-up period, scheduling interviews and reporting); locating and contacting participants; conducting interviews; training and motivating interviewers; and setting up a management information system (MIS) for follow-up.

2.1 Sampling

To meet Federal requirements, follow-up information must be collected and reported by SDAs/SSAs for three groups: Title II-A adult terminees, Title II-A adult welfare terminees, and EDWAA terminees. States must collect and report follow-up information for EDWAA terminees in statewide, regional, or industrywide projects and for EDWAA terminees in National Reserve funded projects.

If the number of terminees in each group is large enough in a single program year, a State or SDA may collect data on a sample of terminees rather than on all terminees eligible for follow-up. If done correctly, sampling can provide aggregate, accurate estimates of postprogram performance, without the cost of contacting all terminees in a group.

Note that sampled individuals must NOT be selected until after they have terminated their JTPA programs--and NOT upon or during their enrollment.

Requirements

When an SDA or State wishes to interview a sample rather than all terminees, it must meet these requirements:

1. **For each SDA, separate samples must be drawn for Title II-A adult terminees and adult welfare terminees. A sample of dislocated worker (EDWAA) terminees is required for each SSA.** Separate statewide samples must be drawn for two groups of EDWAA terminees: (1) terminees in statewide, regional, or industrywide projects funded under Section 302(c)(1)(B), and (2) terminees in

projects funded under Secretary's National Reserve Grants, funded under Section 302(a)(2).

2. **No participant in the follow-up group may be arbitrarily excluded from the sample. Therefore, it is critical that all terminee records be promptly entered in the database used for sampling.**

3. **The process of selecting terminees for each sample must be random** and must conform to generally accepted statistical practice.

4. **Each sample must be at least as large as either the minimum sample sizes or sampling percentages listed in Exhibit 2.1.** As you can see, sampling cannot be used if fewer than 138 participants in a group are expected to terminate over the 12-month period. In such cases, attempts must be made to contact all terminees in the group.

5. **The sampling percentage must be the same for all terminees for each group and for each periodic sample from the follow-up cohort** (participants who terminated during the first three quarters of the program year and the last quarter of the previous program year).

These sampling requirements provide States with the assurance that observed postprogram differences among SDAs are, in fact, real differences. This is particularly important in the case of Title II-A programs where SDAs receive incentives or sanctions based on postprogram performance measures. The requirements help to ensure:

- **Lack of bias** - Random selection from the entire follow-up group with uniform sampling rates ensures unbiased estimates of performance that are unaffected by seasonal fluctuations or concentrations of some types of terminees.

- **High precision** of the performance estimates in each SDA. The minimum sample sizes ensure that the estimated follow-up performance measures across SDAs are precise. There is only a 5% chance that an SDA with a follow-up employment rate five percentage points below its standard would have met its standard if all terminees had been included in the sample.

Exhibit 2.1

Minimum Sample Sizes for Follow-up

Annual Number of Terminees in Population Eligible for Follow-up	Minimum Sample Size	Sampling Percentage
1 - 137	All	100
138 - 149	137	94
150 - 159	143	92
160 - 169	149	89
170 - 179	154	87
180 - 189	159	85
190 - 199	164	84
200 - 224	175	82
225 - 249	185	78
250 - 274	194	74
275 - 299	202	71
300 - 349	217	67
350 - 399	229	62
400 - 449	240	57
450 - 499	250	53
500 - 599	265	50
600 - 749	282	44
750 - 999	302	38
1,000 - 1,499	325	30
1,500 - 1,999	338	22
2,000 - 2,999	352	17
3,000 - 4,999	364	12
5,000 or more	383	7.3

- **Consistency** - Uniform sampling procedures improve the consistency of follow-up data across SDAs.

Sampling Decisions

The Federal requirements only establish minimum sample sizes or sampling percentages. Although surveying additional terminees may increase costs somewhat, States and SDAs should consider selecting samples **larger** than the minimum for the following reasons:

- **Surveying all terminees may be easier and more cost effective than sampling for small States and SDAs**, and even for larger States and SDAs that want to analyze differences among subgroups in the sample. For example, in an SDA with 150 terminees, the minimum sample size is 143. Following up all 150 terminees is easier than using a sampling strategy to eliminate seven people. Similarly, a large State might find it more meaningful and more cost effective to survey all terminees than to administer a weekly, stratified sample.

- Program managers may want to compare and evaluate the follow-up performance of particular programs, service providers, and population subgroups (e.g., age, race, gender). These more detailed analyses require larger samples for each SDA than the required minimum sample sizes, which are designed to provide accurate, aggregate estimates of the performance of SDAs, SSAs, or States (for statewide, regional, and industrywide projects or Secretary's National Reserve Grants under EDWAA).

- Oversampling can provide protection against fluctuations in the number of terminees during the year and elimination of terminees from the sample due to death, institutionalization (e.g., in hospitals, prisons, nursing homes), or severe incapacitation that makes them unable to be interviewed for the entire follow-up period.

- Surveying all terminees simplifies the procedures used to analyze the follow-up data since a weighting procedure must be used to aggregate SDA results into statewide totals unless each SDA uses the same sampling percentage.

Sampling Procedures

Preparing for sampling. The following steps must be taken prior to selecting the sample:

- **Define a regular time period for sampling:** it can be weekly, biweekly, or monthly (recommended for most SDAs).
- **Make sure all terminations for the period are entered in the MIS by the time you plan to select the sample**--preferably less than 9 weeks after the beginning of the period. Otherwise, you have broken a cardinal rule of random sampling, which requires that all terminees must have an equal chance of being selected for the sample. If the terminee record is not in the database, it has been arbitrarily excluded.
- **Develop lists of all adult terminees in the period.** The lists must identify welfare status and ideally would contain primary and backup contact (at least two) information for each terminee. Generally, the SDA would prepare this list, though the State could do it through a centralized or networked MIS. The list should be prepared no later than 10 weeks after the beginning of the follow-up period.
- **Send the lists of terminees, ideally in machine readable form, to the group responsible for sampling** (State, SDA, or contractor as appropriate) no later than 10 weeks after the beginning of the termination period.

Determining the minimum sample size or sampling percentage. The minimum sample size and sampling percentage were both designed to meet the same statistical criterion and differ only because of the use of ranges and rounding. States or SDAs may choose to use either method. For ease of explanation, "minimum sample size" is used below.

The first step in sampling is to determine the required minimum sample size by locating the planned annual number of terminees for each group in the left-hand column of Exhibit 2.1. For each group of terminees eligible for follow-up, a corresponding minimum sample size is needed to estimate SDA-level follow-up performance for that group. The required minimum sample size appears in the middle column. The right-hand column expresses the minimum sample size as a percent of the number of planned terminees. Either the minimum sample size **or** the sampling percentage can be used to determine a sample size that will meet the DOL requirement. For example, suppose an SDA estimates it will serve 550 adult II-A terminees in the Program Year. Exhibit 2.1 shows that a minimum sample size of 265 **or** a sampling percentage of 50% is required for 550 terminees. The SDA must therefore select at least 50% of adult II-A terminees for each sampling period throughout the year.

Once a sampling percentage is determined, it must be applied throughout the whole year. Changing the sampling percentage during the year to correct for inaccurate estimates can bias the results of the follow-up. If the original number of planned terminees is too high, you cannot adjust the sampling proportion to meet the minimum sampling requirement. Thus, using a somewhat larger than minimum sampling percentage is recommended to assure meeting the sample size requirement.

Sampling to reflect planned number of terminees accurately. Terminees must be sampled periodically (monthly or weekly) and consistently so that the total sample accurately reflects the flow of terminees from programs. The percentage of the size of the periodic sample to the size of the group of terminees eligible for follow-up each period should equal the percentage of the total sample size to the size of the total group eligible for follow-up. For example, if an SDA selects a sample size of 50% of all expected adult terminees for the year, it should draw a 50% sample each sampling period. In a period that had 150 terminees, the sample would be approximately 75. In a period with only 80 terminees, the sample would be about 40. The samples from all periods combined will equal the total sample size for the year, or 50% of all terminees.

The entire sampling scheme depends on the accuracy of SDA plans because sampling proportions are based upon planned, or expected, numbers of terminees.

Exhibit 2.1 shows that the lower the number of terminees, the greater the **percentage** of terminees that should be sampled. Therefore, if actual terminations run behind plan, too few terminees will be included in the sample and the required minimum sample size may not be met. Conversely, underestimated planning figures can lead to oversampling and to higher than necessary sampling costs.

The following procedures are provided to help States or SDAs obtain adequate and unbiased samples that reflect follow-up outcomes throughout the 12-month period. (These procedures were adapted from the State of Indiana's Sampling System, revised in April 1989.)

1. To determine the total number of terminees expected to be served by an SDA, review the performance standards plan submitted by the SDA. Note the number of planned terminations for the upcoming program year.

2. To verify these planning figures, review data for the past two years to analyze trends. First, compare the planning figures with the total actual number of terminees in each group for each of the past two years. If the planning figures look realistic compared to the past years' data, they can be used as the basis for determining the appropriate sampling percentage. Then, compare the sample sizes to the total terminations for the past two years to make sure that the sampling percentages used in the past were adequate and are appropriate for the upcoming year.

3. Once you determine the "realistic" number of terminations for the upcoming year, use Exhibit 2.1 to establish the appropriate sampling percentage, as described earlier.

4. Determine the number to include in each sample by multiplying the number of terminations falling within the appropriate range of dates by the sampling percentage. Round the result to the next whole number to provide a small, automatic cushion against undersampling.

Using random sampling. The process for selecting terminees for inclusion in the sample must be **random**. That is, all terminees in each group must have an equal chance of being selected. No participant may be arbitrarily or systematically excluded from the sample: individuals employed at termination and those not employed at termination must all have an equal chance of being selected. Any method consistent with accepted statistical procedures may be used for selecting the random sample. Several examples of random sampling methods appear in Appendix E (How to Select a Random Sample).

Backup sampling. Individuals who have died or are incapacitated may be excluded from the sample and from the calculation of response rates. This includes persons who are institutionalized (e.g., in hospitals, prisons, nursing homes) or severely incapacitated and unable to be interviewed for the entire follow-up period. If eliminating such individuals drops the sample below the minimum size, you need to replace them in order to obtain the minimum sample size. Any excluded individual should be replaced by another terminee **randomly selected** from the same group (e.g., II-A adult) and month of termination as the excluded terminee. If, as previously recommended, States and SDAs initially draw random samples **greater** than the minimum size required, backup sampling is not necessary.

Selecting the Title II-A welfare sample. The Title II-A adult welfare sample will be selected in two parts. First, some adult welfare terminees will be selected as part of the overall Title II-A adult sample. Then, you must randomly draw an additional **supplemental welfare sample** from those welfare recipients that were eligible for follow-up, but were not already selected in the adult sample.

To determine the size of the supplemental welfare sample, determine the minimum sample size for the adult welfare recipients. Subtract from this number those welfare recipients already included in the **total** Title II-A adult sample. (The ratio of welfare adults to all adults in the sample drawn for follow-up may differ from the ratio in the total terminee population for the year. This discrepancy is **not** important.) The result is the minimum size of the supplemental welfare sample. An example follows on the next page.

In many SDAs, the number of adult welfare terminees in a given year will be so small that a 100% sample would be necessary. In such cases SDAs would draw the overall adult terminee sample, picking up some portion of the welfare terminee population in the process, and then include all remaining adult welfare recipients in the welfare follow-up sample.

An SDA expects to terminate 1,600 adults in Title II-A during Program Year 1989. Of these, 640 will be welfare recipients. Welfare recipients will represent 40% [(640/1,600) x 100] of the adult terminees.

The required minimum sample sizes, taken from Exhibit 2.1 are:
Minimum adult sample size = 338
Minimum welfare sample size = 282

If randomly drawn, approximately 40% of the adult sample could be expected to be welfare recipients. Forty percent of the adult sample of 338 equals 135. So the adult welfare supplemental sample would be 147, because:

282 adult welfare sample size
- 135 recipients already in the adult sample
147 supplemental welfare sample

The supplemental welfare sample of 147 individuals must be selected from the 505 welfare recipients not previously selected for the sample (640 - 135 = 505). This represents a sampling percentage of 29% (147 divided by 505).

2.2 Timing the Follow-up

Requirements

Three requirements are involved in timing the follow-up: the **duration of the follow-up period**; the time span, or **window during which interviewing may occur**; and the particular groups, or **cohorts of terminees** who are followed up and reported each quarter.

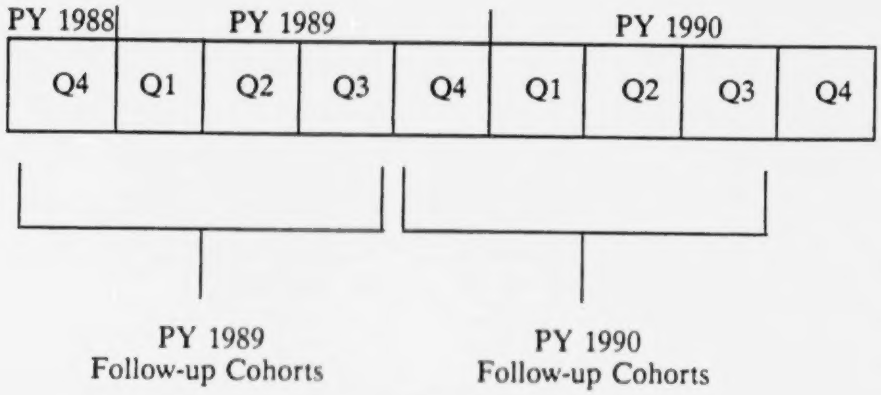
1. The postprogram, or **follow-up period for all terminees is the 13 weeks following termination from a JTPA program.** For a given terminee, the follow-up period begins on the first Sunday following the termination date and concludes on the 14th Saturday following the date of termination. The last full calendar week of the follow-up period, from the 13th Sunday to the 14th Saturday, is designated as the **reference week.** The data reported in the JASR/WAPR should reflect the employment rate and average weekly earnings during the reference week, and average number of weeks worked during the entire 13-week follow-up period. (The data reported on the WAPR should report the **average hourly wage**, rather than the weekly earnings.)

2. The time span, or **window for data collection is limited to a 4-week period from the 14th through the 17th calendar week following termination.** Postprogram data collection may extend beyond this 4-week window through the 18th week **only** when the individual has been located but not interviewed before the end of the 17th week or when the individual is temporarily absent during the regular 4-week period for data collection.

3. **Follow-up data must be collected and reported to DOL for individuals who terminated from the program in the first three quarters of the current program year, as well as those who terminated from the program in the last quarter of the previous program year. (This group is called the follow-up cohort.)** This is because the follow-up interviews lag the termination dates by about 13 weeks. The schedule of quarterly cohorts for whom follow-up interviews are required in PY 1989 and PY 1990 appears in Exhibit 2.2. States and SDAs can schedule and conduct interviews on a monthly or weekly basis, using a program year calendar to identify appropriate reference weeks and interviewing windows. The follow-up data must be entered on the JASR/WAPR and reported to DOL **no later than 45 days following the end of the program year.**

Exhibit 2.2

Annual Required Follow-up Cohorts by Termination Quarter



Timing Decisions

The follow-up interview schedule controls the timing of the entire data collection process. Exhibit 2.3 summarizes key activities in the follow-up process and recommends a schedule for conducting them in order to meet data collection and reporting requirements.

Consider, in addition, these scheduling suggestions for conducting key follow-up activities:

- Provide lists of terminees with accompanying contact information to interviewers **no later than 10 or 11 weeks after termination.** This allows time to prepare and mail notification letters, if used, and to schedule interviews. **If the lists are provided to interviewers once a month, contact information will need to be generated as early as six weeks after termination**. This process should be coordinated with the MIS data entry process.

- Because the follow-up workload varies with the number of terminees, **flexible staffing** may be needed to accommodate peak periods of terminations.

- When using mail surveys to contact hard-to-reach terminees, **all attempts at telephone interviews should be made during the 14th week** to allow enough time to mail questionnaires to terminees so that complete responses **mailed by the end of the 18th week** can be included in the data reported on the JASR/WAPR.

- The data collection window leads to a very **tight reporting schedule.** Consider a termination that occurs on the last day of the third quarter. The reference week ends on the first Saturday after the program year, followed by four weeks to complete the interview. Thus, the interview period ends approximately 31 days after the close of the program year, leaving only 14 days to enter, edit, and report the data to DOL.

Exhibit 2.3

Summary of Key Activities

TIME PERIOD	TASK
Prior to and during JTPA participation/termination	• Inform participants of follow-up, and obtain their agreement to participate. • Collect and update primary and back-up contact information for all participants. • Promptly enter termination data into the MIS.
Weeks 10-11 Post-Termination	• Prepare list of terminees eligible for follow-up. • Select sample(s). • Prepare notification letters.
Week 13 Post-Termination	• Prepare questionnaires, as applicable. • Mail pre-notification letters. (Send earlier if using reply cards.)
Weeks 14-17 Post-Termination	• Contact and interview all terminees included in sample. • Make callbacks, as needed. • Code and enter questionnaire data, as required.
Weeks 18-19 Post-Termination	• Complete remaining interviews and data entry for terminees who mail back questionnaires by the end of the 18th week.
End of Program Year	• Prepare aggregated reports for required groups. • Adjust for non-response, as required.
45 days after End of Program Year	• Submit JASR/WAPRs to DOL.

2.3 Locating and Contacting Participants

States, SDAs, and follow-up contractors have found that JTPA terminees rarely refuse to provide follow-up data, even relatively sensitive information like their income or welfare status. The rate of refusals ranges from zero to less than five percent. Therefore, **the main challenges in conducting an effective follow-up are in locating and contacting terminees.** Achieving a 70% response rate requires a comprehensive and efficient system to do this. This section presents the Federal requirements for locating and contacting terminees and recommended strategies for obtaining maximum response rates. Appendix F, Selected Survey Research References, cites several standard survey research texts that cover these issues in more detail.

Requirements

Only one general requirement must be met in locating and contacting participants for follow-up: **The techniques used to contact terminees must not introduce bias.** The same effort should be made to contact all types of terminees regardless of their termination status or demographic characteristics. In particular, similar effort must be made to locate individuals who were not employed at termination (and are typically harder to contact) and those who were employed at termination.

Obtaining Adequate Contact Information

The key to effective follow-up data collection is the quality and accessibility of the contact information obtained from participants while they are still in the program. The following techniques have been used to obtain this information effectively:

- **Upon enrollment, obtain the name, address, and telephone number of the participant and at least two backup contacts.** These contacts should be relatives or friends who do not live with the participant but would likely know how to find the participant later on. "In case of emergency" contacts are **not** useful if they are family members at the same residence, who may be as difficult to locate as the participant. Parents and other older relatives not living with the participant are ideal because they are less mobile.

- **Require service providers to provide primary and multiple backup contact information on each terminee as part of their performance contracts.** (This increased the response rate in one SDA by 5-10%.)

- **Periodically during training and upon termination, verify and update the contact information.**

    - Give a prepaid postcard to participants to return with changed contact information.

    - Require participants to provide updated contact information on time sheets required for needs-based payments, where appropriate.

    - Feed the updated information into the MIS in a timely way.

    - Maintain contact with participants who are in the 90-day period of inactive status. Terminate them at the end of this period, and enter the data into the MIS promptly.

- **Establish linkages and develop cooperative relationships with other agencies and staff that might have contact with participants** (SDA counselors, local employers, JTPA service providers, social services, correction agencies, community service organizations, homeless shelters). Encourage interviewers to use these resources after a few unsuccessful attempts to contact participants. A thank-you note might be sent to individuals who have helped locate terminees.

- **Communicate contact information in a timely manner and make it easily accessible to follow-up interviewers**--preferably through a MIS network.

Preparing Participants for Follow-up and Motivating Them to Participate

Terminees will be more willing to provide follow-up information if they know about follow-up in advance and understand its importance and legitimacy. The following steps are recommended:

- **Upon enrollment and termination, inform participants of the importance of follow-up and their responsibility to provide follow-up information, if requested to do so.**
    - Obtain the individual's signed agreement to participate in follow-up and to provide contact information, at the time of enrollment. A sample **Follow-up Agreement** appears in Exhibit 2.4.
    - Require counselors or service providers to have an **exit interview** with participants to identify any need for additional services, to remind them about follow-up, and to obtain updated contact information. Record the date and the name of the exit interviewer in the MIS for use in establishing rapport in the follow-up interview.
    - Obtain the participant's **permission to request information from employers**. This will enable interviewers to call employers for help in locating employed terminees and in verifying follow-up data provided. An example of a statement used to obtain the participant's permission to contact employers is included in the Follow-up Agreement in Exhibit 2.4. (See Section 4.2 for more information on employer verification.)

Exhibit 2.4

Sample Follow-up Agreement

Participant Name ________________ SS# ________________

Program Operator ________________________

You are being enrolled in a training program funded under the Job Training Partnership Act (JTPA). The program is administered by [SDA] and operated by [Service Provider]. Its goal is to help you obtain the education or training that will lead to your future employment.

In order to measure how well we are meeting this goal, we need your help. After you leave this program, you will be contacted by [Follow-up Agency/Contractor] to see how you are doing and to ask you a few questions. By answering these questions, you will provide us with information that will help us to serve you and others better in the future.

One of [Follow-up Agency/Contractor] interviewers will call you 14 weeks after you leave the program. It will take only a few minutes, and all the information you provide will be kept **strictly confidential**. Your participation is very important to the future success of this program. We appreciate your help.

List at least two people who **do not live in your household and will always know your whereabouts**.

________________ ________________ ________
Name Address Phone

________________ ________________ ________
Name Address Phone

I voluntarily agree to provide information in the follow-up interview. I understand that my participation is voluntary and that the information I provide will be kept strictly confidential.

I also hereby give permission to my past/present employer to release information to the [Follow-up Agency/Contractor] regarding my employment and earnings.

____
Signature of Participant Date

____
Signature of Program Representative Date

- **About one week before the expected interview date, mail notification letters or post cards to follow-up participants:**

  - Identify the purpose of the interview, its voluntary and confidential nature, and the specific information that will be requested (employment and earnings). The letter might include a calendar to highlight the reference weeks.

  - Remind them of previous references to follow-up, if appropriate--for example a Follow-up Agreement.

  - Provide a bilingual translation of the letter or post card for non-English speaking participants. If possible, these individuals should be identified in advance on the MIS. Translations of letters should be printed on the reverse side of the English letter, and both sides of the letter should indicate that the other version is on the reverse side.

  - Include methods to verify the accuracy of available contact information and to encourage participant to call in. For example, ask participants to provide their current phone number on a business-reply post-card or to call in on an 800-line or collect. Or subscribe to the U.S. Postal Service's Address Correction Service, which will notify you of any new address and its effective date, and charge only for successful tracking attempts (approximately $.30).

A sample notification letter appears in Exhibit 2.5. Use or adapt it to meet your own follow-up procedures.

Exhibit 2.5

Sample Notification Letter

[SDA/CONTRACTOR LETTERHEAD]

[DATE]

[PARTICIPANT'S NAME]
[PARTICIPANT'S ADDRESS]

Dear [Mr., Ms.]:

The [SDA/CONTRACTOR NAME] is interested in learning more about you and other persons who have recently participated in a Job Training Partnership Act (JTPA) program. While you were in the [NAME OF PROGRAM/VENDOR] several months ago, you may recall being told that you might be asked to participate in a follow-up survey after you left the program.

Someone from our office will be calling you in a few days to ask you some questions about your employment experiences during the past several months. Information you provide will be used in evaluating the programs and will be held in strictest confidence. Your participation is voluntary and your answers will not affect your eligibility for AFDC, food stamps, unemployment insurance, or similar programs.

Questions will include:

1. Did you do any work for pay during the week beginning [START/END DATES]?

2. If you worked during that week, how many hours did you work that week, how much did you get paid per hour, and how much extra, if any, did you earn in that week from tips, overtime, bonuses, commissions, or any work you did on the side before deductions.

3. How many weeks did you work at all for pay during the entire 13-week period from [DATE] through [DATE]?

A calendar is included with this letter to help you answer the questions.

We will be calling you at [PARTICIPANT'S PHONE NUMBER], the telephone number that is in our records. If you have a new telephone number, please write or call [NAME OF INTERVIEWER] at [PHONE NUMBER] so that we can get in touch with you.

Those of us here at [SDA/CONTRACTOR] look forward to talking with you soon. What we learn from you will help us to improve the programs we provide.

Exhibit 2.5 (Continued)

1989

JANUARY 1989

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1990

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Contacting Participants for Follow-up

Obtaining maximum response rates requires systematic and common sense procedures for contacting participants. After conducting follow-ups for several years, States and SDAs have found the following strategies effective:

- **Time your calls to reach participants successfully.** Analyze your own contact records to determine the best times to call. In general:

    - **Avoid calling during standard business hours** when employed terminees are at work. Interviewers have found the best times to call are early evening hours (5 - 8 Monday through Friday), Saturday 10 - 2, Sunday evenings, holidays. Bad weather days are also good times to call.

    - **Vary times for repeated calls** if a participant is hard to reach.

    - If you reach an answering machine or someone other than the participant, **leave a message** for the participant to call back.

  In States or SDAs where calling during off hours is difficult for staff, consider offering compensatory time or monetary incentives to staff, rotating after-hours assignments among staff, or hiring special follow-up staff who can work flexible schedules.

- **Once you have reached participants, interview them immediately whenever possible.** If completing the interview is not convenient at that time, arrange to call again at a more convenient time or for the person to call back easily:

    - Establish a **toll-free 800-number** if possible (it's easier and less intimidating to participants than calling collect). Forty percent of one State's response rate comes from callbacks on an 800-number, and several States have reported improvements in response rates of more than 20% from 800-number callbacks.

- Whoever answers the phone must be able to conduct the interview or immediately transfer the call to someone who can. **Assign a distinctive, fictitious name to the interviewer** (that is neither male nor female, like Chris Jasser) so that return follow-up calls can be recognized and referred immediately to appropriate staff.

- **Establish systematic procedures for reaching terminees** that include:

  - **As many telephone attempts as necessary to reach the terminee:** often six or more attempts are needed to reach participants.

  - **a prescribed order for attempting contacts** such as the following:
    1. Home phone
    2. Backup contacts
    3. SDA program staff
    4. Service provider (vendor) that trained participant
    5. Directory assistance
    6. Other directories such as local telephone books or cross-referenced/reverse directories that are published by private firms. Calls to other numbers listed under the same name or at the same address may provide information useful in locating a terminee.
    7. Employer or worksite of job-placed terminees

Employers may provide useful information for **locating terminees.** By contacting the employer, it may be possible to speak with the participant to arrange an interview, leave a number for the participant to call, or get information on how to locate the participant. When calling employers, interviewers should be careful not to release confidential information about the participant, not to disrupt the participant's work day, and not to irritate an employer who could be the source of future placements. If possible, interviewers should establish a contact person at the employer, and call no more than once or twice in a week. **Note that you cannot use any information about employment status or earnings obtained from employers for JASR/WAPR reporting purposes in lieu of information obtained directly from JTPA terminees.**

  - **a required record, or log, of all attempted contacts.** The log should include the date, time, and method of each attempted contact; the name or ID number of the staff member making contact; and the outcome of each contact. It should be available for follow-up supervisors at all levels to use for verification and monitoring purposes. See Exhibit 2.6 for a sample Contact Log Form.

  - **a follow-up mailing to hard-to-reach terminees** who have an active address on record. Mailing should be a last resort only, as it has not been a very effective initial follow-up strategy. (See Section 2.4 for more information on mailing questionnaires.)

- **Consider assigning the most hard-to-reach cases to a single interviewer or to a small number of especially qualified interviewers during third or fourth follow-up week.** Although not practical for small SDAs, this strategy can improve the efficiency of a large follow-up system.

Exhibit 2.6

Sample Contact Log Form

COMPLETED: ____________

WEEK NO:

SDA:

QUEST. #:

NAME:

SOCIAL SECURITY NO:

ADDRESS:

TERM DATE: mm/dd/yy

ACTIVITY:

PHONE NO:

TERM TYPE: 9

ALT. NO:

VENDOR:

WORK NO:

EMPLOYER:

WAGE: $99.99

NEW NO: (____)_______________DATE: ___/___/___

TITLE:
IIA=
IIAW=
III=
YOUTH=
YOUTH WELF=

DATES INTERVIEWED: ___/___/___
___/___/___

CALL RECORD

CALL	DATE	TIME	AM=0/PM-1	CALL CODE	DISPOSITION	CONTACT INFORMATION
1	___/___/___	:				
2	___/___/___	:				
3	___/___/___	:				
4	___/___/___	:				
5	___/___/___	:				
6	___/___/___	:				
7	___/___/___	:				
8	___/___/___	:				
9	___/___/___	:				
0	___/___/___	:				
14	15-16/17-18/19-20	21-24	25	26	27	NOTE: PUNCH ONLY LAST LINE

CODES:
1=Called home
2=Called kin/friend
3=Called Directory Assist.
4=Called employer
5=Called Service Delivery Area
6=Called training faciltiy
7=Participant called in

DISPOSITION CODES:
0=No answer/busy signal (IP)
1=Participant not available. Residence Confirmed (IP)
2=Interview Partially Completed (IP)
3=Phone # Disconnected/Changed/Not in Service/Not Listed
4=Participant no longer at #/Provided no infomation (IP)
5=Provided new address/phone # (IP)
6=Institutionalized/unable to interview (F)
7=Refusal on screening/terminated during interview (F)
8=Unable to contact (F)
9=Completed Interview (F)

2.4 Conducting Follow-up Interviews

Requirements

To fulfill the follow-up reporting requirements, all of the following information must be collected from respondents: (1) whether the respondent was employed during the 13th week after termination (the reference week); (2) if employed, respondent's hours worked, hourly wage, and additional earned income in the 13th week; and (3) the total number of weeks the respondent worked during the 13-week period ending with the reference week. The following requirements for conducting follow-up interviews must be met:

- **Interview questions developed by DOL must be used to determine the follow-up information reported on the JASR and WAPR.** Participants must be told that responding is voluntary and that information they provide will be kept confidential. The required DOL questions appear in Exhibit 2.7.

- **Attitudinal questions may be asked before the required DOL questions. However, the required questions must be asked before any other questions about employment or earnings.**

- **The required information must be gathered directly from the participant.** Although relatives, friends, and employers may provide contact information, the questions must be asked directly of the participant.

- **The information should be obtained by telephone or in person. Mail questionnaires may be used in those cases where an individual cannot be reached by telephone or in person.** Telephone interviews should be the primary method for collecting follow-up data. In-person interviews may be appropriate when respondents drop into JTPA offices, in rural areas without telephones, and for specific hard-to-reach terminees such as the homeless. Mail surveys should be a last resort only. More information regarding mail questionnaires appears later in this section.

Exhibit 2.7

Minimum Postprogram Data Collection Questions

A. I want to ask you about the week starting on Sunday, ______, and ending on Saturday, ______, which was (last week/two/three/four weeks ago).

1. Did you do any work for pay during that week?

   ___ Yes [Go to 2]

   ___ No [Go to C]

2. How many hours did you work in that week?

   ___ Hours

3. How much did you get paid per hour in that week?

   ___ Dollars per hour

4. How much extra, if any, did you earn in that week from tips, overtime, bonuses, commissions, or any work you did on the side, before deductions?

   ___ Dollars

B. Now I want to ask you about the entire 13 weeks from Sunday, ______, to Saturday, ______.

5. Including the week we just talked about, how many weeks did you work at all for pay during the 13-week period?

   ___ Weeks [Go to end]

ALTERNATIVE QUESTIONS

C. If answered "NO" to Question 1:

Now I want to ask you about the entire 13 weeks from Sunday, ______, to Saturday, ______.

6. Did you do any work for pay during that 13-week period?

   ___ Yes [Go to 7]

   ___ No [Go to end]

7. How many weeks did you do any work at all for pay during that 13-week period?

   ___ Weeks

Interviewing Participants to Obtain Complete and Accurate Information

Establishing rapport. Once contacted, participants usually agree to provide follow-up information. However, they sometimes do not recognize "JTPA" or are reluctant to provide personal information such as wages. Therefore it is important to establish rapport, trust, and cooperation immediately. Interviewers should introduce themselves and be friendly and informal. They should briefly explain the importance of follow-up, its use for program improvement, and its voluntary and confidential nature. To convey familiarity with participants and concern about their JTPA experience, interviewers should:

- Identify the participant's specific training program and service provider. (This information should be available through the MIS.)
- If a notification letter was sent and to establish your credibility immediately, ask the participant if the letter was received.
- Begin interviewing as soon as possible. The most efficient and effective way to convince respondents that you are not trying to sell them anything is to ask the interview questions immediately.
- Ask participants for their opinion about their JTPA training before asking the required DOL questions--informally if these questions are not part of the actual questionnaire.

A sample telephone introduction appears in Exhibit 2.8 at the end of this section.

Clarifying questions and probing. Clarifying questions or probing is necessary when a respondent does not understand a question or when a response is incomplete, unclear, or probably inaccurate. Probing should be **neutral:** it should not lead the respondent to give a particular answer. Explanations, or clarifications, of the required questions appear in Exhibit 2.9, and examples of acceptable probes appear in Exhibit 2.10.

Confronting language problems. If your State or SDA serves a substantial number of non-English speaking people, hiring or identifying a local source of bilingual interviewers is important. If language is an occasional problem, arrange for another person in the participant's home to translate, scheduling a callback if needed. However, make sure that the participant provides the information, not the interpreter.

Converting potential refusals. Once contacted, reluctant participants may be persuaded to complete the follow-up questions; similarly, reluctant friends or relatives may be encouraged to locate the participant. Reasons for possible refusals and suggestions for gaining cooperation appear in Exhibit 2.11.

Using a mailed questionnaire. As mentioned earlier, use mail questionnaires only for terminees who cannot be reached by phone or in person. The cover letter should refer to the initial notification letter (if there was one), restating the purpose of the interview and explaining its confidential nature. It should also provide a return telephone number (preferably an 800-line) and hours when return calls can be made by respondents. Alternately, the letter might include a business reply postcard requesting a current name, address, and telephone number, and a convenient time for the interviewer to call. The mailed questionnaire should be sent in enough time to reach terminees by the end of the 17th week, so that complete responses mailed by **the end of the 18th week** can be included in the data on the JASR/WAPR.

Experience of States and SDAs indicates that terminees are more likely to call back to respond than to return a mailed questionnaire, particularly a lengthy one. To increase the likelihood of a response, the mailed questionnaire should be brief and easy to read, fill out, and return. Include the required questions only, worded appropriately for a mailing, and a calendar for reference. **Including optional questions in the mail questionnaire is not recommended.** Be sure to include a self-addressed, stamped envelope.

An example of a cover letter and mail questionnaire appears as Exhibit 2.12.

Exhibit 2.8

Sample Telephone Interview Introduction

Hello, my name is [__________________], and I am calling from the [Name of State, PIC, SDA, Contractor as appropriate]. As you know from the letter we sent you recently, we are conducting a brief survey of the [JTPA Training Program and Service Provider] in which you participated three or four months ago.

I would like to ask you a few questions about what you have been doing since you left the program. All of your answers will be kept strictly confidential and are voluntary on your part. Your responses will help us to improve employment and training programs in the future. The questions are very short, so it will only take a few minutes.

[**Note to Interviewer:** Do not sound hesitant or tentative. This may be the only time the participant will be reached. Push for completion, and at the very least, get answers to the required questions. If the participant cannot be interviewed immediately, schedule a later time to conduct the interview, or ask the participant to call back on the 800-number or collect.]

Exhibit 2.9

Clarifications of Required Questions

Required DOL Questions	Clarifications
Question A1: Did you do any work for pay during that week? ___ Yes ___ No	The answer to this question should be "yes" if at any time during the 7 consecutive days of the reference week the respondent was: • a paid employee; • a member of the armed forces on active duty or a participant in a registered apprenticeship program; • self-employed in his/her own business, profession or farm; or • absent from work or the business due to illness, bad weather, vacation or personal reasons, but still on paid status.
Question A3: How much did you get paid per hour on that week? $ _______ hour	The following items are **included** in hourly wages: • all wages, including pay for vacation and sick leave. • amounts which may have been deducted from the paycheck for taxes, health insurance, credit unions, retirement, child support, alimony, etc. • hourly wages from all jobs held during reference week. The following items are **not** included in hourly wages: • money received through pensions or transfer payments such as welfare, social security, or unemployment insurance.
Question B5 and C7: Now I want to ask you about the entire 13 weeks starting from Sunday, ___________, to Saturday, ___________, [including the week we just talked about]. How many weeks did you work at all for payduring the 13-week period? _____ Weeks	This question asks the respondent to mentally calculate the total number of weeks worked during this 13-week period. Only **whether** the respondent has worked at any time in a given week is important, not the amount of time worked during the week. Again, individuals on **paid** sick leave or paid vacation should be counted as working. The interviewer may clarify the status of each of each of the 13 weeks with the help of a calendar, using the categories provided under question A1.

Exhibit 2.10

Acceptable Interview Probes

Types of Probes	Examples
Repeat or rephrase a question	Were you paid for any work you did last week?
Repeat or rephrase the respondent's answer	You said you were paid $7.50 per hour, but I did not hear how many hours you worked last week.
Make neutral statements requesting more information	I'm not sure I understand. Could you explain further.
Specify key events or dates to identify the reference period or suggest the respondent look at a calendar	The 13th week was the week of Halloween.
Probe or ask back-up questions to obtain earnings information--use available termination information to jog their memory.	When you left the program, you were hired full-time at Acme Body Shop at $6.65 per hour. Were you making the same amount last week? Did you work 40 hours last week?
Clear up an apparent discrepancy error in a response	I thought you said you were not working last week (the 13th week) but that you worked for the entire 13 weeks since [date]. Did you really work all 13 weeks or did you mean that you were working every week except last week?

Exhibit 2.11

Converting Refusals

Reasons for Refusal	**Response**
Too busy/no time	I only have a few questions, but would be happy to call you back at a more convenient time. When would be a good time for me to call back in the next day or two?
Bad health	I'm sorry to hear that. I would be happy to call back in a day or two. Would that be okay?
Feels inadequate/confused	The questions are not difficult. They concern how you feel about the job training program. Some of the people we have interviewed had the same concern you have, but once we got started they didn't have any trouble answering the questions. Would you like me to read a few questions to you and you can see what they're like?
Questions too personal	Your answers will be completely confidential. No one else will know how much you were paid. Protecting people's privacy is one of our main concerns. We add up the answers from lots of people to find out how well the program is working.
Not interested/sees no benefit	It's very important that we get the opinions of everyone who participated in the program. Your opinions and experiences with [program] will help us learn how useful the program was to you, so it will be useful for others.
Objects to telephone surveys	We have had a lot of experience and success with telephone surveys like this one. [If participant is still reluctant...] However, if it would be convenient for you, I would be happy to mail a questionnaire to your home.

Exhibit 2.12

Sample Mail Letter and Questionnaire

[SDA/CONTRACTOR LETTERHEAD]

[DATE]

[PARTICIPANT'S NAME]
[PARTICIPANT'S ADDRESS]

Dear [Mr., Ms.]:

Several months ago you participated in a job training program funded by the Job Training Partnership Act (JTPA). Our records indicate that you were enrolled in [NAME OF PROGRAM/VENDOR]. We are now conducting a follow-up survey to find out how successful the program was in helping you. You may recall being told about this survey while you were in the program. Your cooperation would be greatly appreciated.

We have been unable to reach you by telephone, so we are sending you a brief questionnaire. Please take a few minutes to fill out all of the items on the questionnaire, and return it to us in the enclosed stamped envelope. It is important that we receive your response before **[End-date of 4-week interview "window"]**, so answering quickly would be appreciated. If it would be more convenient, feel free to call [interviewer name] us with your answers at [800-number and/or other number] between [appropriate hours/days].

Your responses are voluntary and will be held in the strictest confidence. The answers you give will in no way affect your eligibility for this or other, similar programs.

Thank you for your help and let us know if we can be of assistance to you in the future.

Sincerely,

Program Director/Survey Manager

Enclosures

Exhibit 2.12 (continued)

Sample Mail Questionnaire

We would like to know about your work experiences during the 13-week period shown on the calendar below--**starting on Sunday, ____________, and ending on Saturday, ____________.**

[Insert small calendar with appropriate weeks highlighted.]

1. Did you do any work for pay during the 13th week, starting on Sunday, ______, and ending Saturday, ______?

   _____ Yes

   _____ No [If NO, go to question 2.]

   1a. How many hours did you work in that week?

   _____ Hours worked

   1b. How much did you get paid per hour in that week?

   _____ Dollars per hour

   1c. How much extra, if any, did you earn in that week from tips, overtime, bonuses, commissions, or any work you did on the side, before deductions?

   _____ Dollars

2. How many weeks did you work at all for pay during the entire 13-week period, starting on Sunday, ______, and ending Saturday, ______?

   _____ Weeks worked

Thank you very much. Please return this questionnaire in the self-addressed, stamped envelope as soon as possible.

2.5 Training and Motivating Interviewers

Training, supervising, and motivating interviewers are essential components of an effective follow-up system, whether the follow-up is conducted statewide or at the SDA level, in-house or by a contractor. Systematic training is important to familiarize staff with JTPA and the importance of follow-up, with the procedural requirements of follow-up, and with strategies for obtaining accurate, valid data and high response rates.

Training, Supervising, and Evaluating Interviewers

Sample interviewer training materials appear in Exhibits 2.13, 2.14, and 2.15. These materials have been adapted from materials developed by Employment and Training Institute, ETI, a private follow-up contractor in Ringwood, New Jersey. Exhibit 2.13 provides a suggested interviewer training outline; details for most of the topics in the outline are provided in the TAG sections indicated on the outline. The Orientation Guide in Exhibit 2.14 provides information for Section I of the outline relating to the background and purpose of JTPA and follow-up data collection. An example of a form that can be used to evaluate interviewers appears in Exhibit 2.15.

Providing interviewers with sufficient training and supervision can ensure that they understand the purposes and procedures involved in follow-up, can deal with hard-to-locate and reluctant participants, and will collect and record follow-up information completely and accurately. For example, new interviewers who have not previously talked with economically disadvantaged people may have difficulty remaining objective and not be tempted to offer personally to help. Helping interviewers develop techniques for remaining objective, while establishing rapport, would be valuable.

In addition to training and regularly monitoring the work of interviewers, the supervisor should meet regularly with interviewers to provide feedback, to discuss problems and effective ways to address them, and to share each other's effective strategies.

Motivating Interviewers

In addition to training, supervising, and providing feedback to interviewers, consider motivating interviewers in the following ways:

- Establish **friendly, informal competition** among staff by periodically reporting results. For example, post results for each interviewer in terms of completed interviews per day or most challenging locations reached. One State uses a wall map to plot the locations of faraway respondents interviewed.

- **Acknowledge or reward interviewers for achieving high response rates or using innovative strategies.** For example, designate an **interviewer of the month**, and hold a monthly "ceremony" to acknowledge successful staff. Engage interview staff in the process of determining appropriate incentives.

- **Pay interviewers or contractors for completed interviews.** Consider paying bonuses for high response rates. (One State pays its follow-up contractor a bonus for each percentage point over a 70% response rate.) However, if incentives are used, monitoring interviewers is especially critical to ensure honest and thorough performance.

- **Improve staff accountability** by integrating interviewer's performance on follow-ups into the performance appraisal process.

Exhibit 2.13

Training Outline for Interviewers

I. Project Background and Purpose [Exhibit 2.14]
  A. The Job Training Partnership Act (JTPA)
    1. Funding
    2. Explanation of Private Industry Council (PIC)
    3. Explanation of Service Delivery Area (SDA)
    4. Discussion of participant eligibility for Title II-A and EDWAA
    5. Description of program activities (Classroom Training, OJT, Direct Placement)
    6. Description and role of community agencies (service providers, employment service, welfare)
    7. Organization of State/SDA program staff

  B. Follow-up Data Collection
    1. Significance of results in terms of performance standards [TAG Sections 1.1 and 1.3]
    2. Use of results for evaluating and monitoring programs and service providers [TAG Section 1.3]
    3. Explanation of the 13 week follow-up period, reference week, and the "window" for data collection [TAG Section 2.2]
    4. State, SDA, or Contractor's experience with follow-ups [TAG Section 1.4]

II. Procedures for Locating and Contacting Respondents [TAG Section 2.3]

III. Review of Interview Questions and Procedures for Recording Responses [TAG Section 2.4]

IV. Interviewing Principles and Procedures [TAG Section 2.4]
  A. Establishing rapport with respondents
  B. Responding to different types of respondents (typical, reluctant)
  C. Pacing the flow of the interview
  D. Probing to clarify questions and responses
  E. Reversing refusals

V. Role Playing Exercise (mock interviewing)

Exhibit 2.14

INTERVIEWER'S ORIENTATION GUIDE
TO JTPA AND POSTPROGRAM FOLLOW-UP

As a Postprogram Follow-Up Interviewer, you will be in contact with people who have gone through the JTPA (Job Training Partnership Act) system. This guide will attempt to acquaint you with this system.

BACKGROUND

JTPA is a federally-funded jobs program geared primarily to serving the economically disadvantaged. It has been in existence since 1982. Previously, the federal jobs program was called CETA (Comprehensive Employment & Training Act).

The Job Training Partnership Act (JTPA), enacted in 1982, represents an entirely new concept in providing job skill training for the nation's unemployed disadvantaged and dislocated workers. Funded in 1984 at $3.6 billion, this Act channels federal dollars through the states to local private industry councils for training programs. These local councils must be chaired by business persons, and local business leaders must make up a majority of the council membership.

The local private and public leaders serving on private industry councils determine what employment skills are needed in their communities. They can then use federal funds to establish local training programs that provide the disadvantaged unemployed with the skills to match identified local employment needs. The councils continually review program operations and evaluate actual results such as the percentage of trainees employed, cost per placement, and other performance criteria. They then determine if new or different skill training programs are needed.

The Job Training Partnership Act is designed to insure that public funds are spent effectively to provide needed job skills. Seventy percent of all funds must be used for training programs that lead to private sector employment. Administrative costs are limited to a maximum of 15%. At least 40% of the funds must be used to train disadvantaged and unemployed youth--the nation's most critical category of unemployment. (Minority youth unemployment is now over 40%. Non-minority youth unemployment is over 20% today.)

THE TRAINING PROGRAM

Based on the decisions made by the PIC, public and private training schools are chosen (through a bidding process) to train JTPA-eligible participants into jobs (often entry level). The Act provides that a wide variety of training services may be made available to youth and adults with program funds. These services include, but are not limited to:

- Job Factory or Job Search Assistance — A group of activities which provide labor market information, programs for individuals and groups, job clubs, and individualized job search plans. This assistance can be beneficial and inexpensive (with very limited supportive services provided) for clients with a marketable job skill. Job search assistance also may be a follow-up activity for clients who have successfully completed a skills training program.

- Direct Placement -- The program recruits eligible clients and refers them to an existing job opening. Very little counseling or training is provided.

- Pre-Vocational Training -- Generally a classroom, structured activity which provides labor market information, introduction to the world-of-work, instruction on correct completion of resumes and employment applications, and an awareness of required workplace behavior.

- ESL or Bi-Lingual Education -- Specialized instruction for non-English and limited-English speaking clients designed to make them sufficiently functional in English to proceed with their individual employability plan.

- CRT - Remedial Education and Basic Skills Training -- Generally programmed instruction to improve reading, writing and computational skills of clients who have educational deficiencies. (This is often called "Pre-Vocational Training.")

- High School Equivalency (GED) -- Generally an activity, coupled with remedial education, which is designed to provide an equivalency certificate to individuals lacking a high school diploma.

- On-the-Job Training (OJT) -- A job placement activity which provides for reimbursement to the employer of an amount equal to as much as 50% of the entry-level salary of an employee. OJT compensates the employer for extraordinary supervision and material costs and reduced productivity during the new employee's training period. OJT programs are generally viewed as the most effective job placement tools because the employer is able to screen and to select the new employees and then train them according to that employer's specific needs.

- CRT - Occupational -- Traditional occupation-specific training, which is provided by a public or private training vendor with demonstrated training capability. SDAs may buy class-size training or purchase individual training slots, or may negotiate with the vendor to customize a special program to train for an identified demand skill.

SPECIAL YOUTH PROGRAMS

Beyond the services described so far, the local SDA may choose to fund additional programs to meet the special employment needs of youth in the labor market area. The Act describes four such programs, any one or all of which may be included in the job training plan.

- Pre-Employment Skills Training Program -- An in-school program for youth, including 14 and 15 year olds, designed to provide up to 250 hours of instruction and activities in a variety of labor market, job search, and basic skill areas. Priority should be given to those not meeting established levels of academic achievement who plan to enter the full-time labor market upon leaving school.

- Entry Employment Experience Program — A program providing subsidized employment opportunities in the public and private sectors for individuals who are enrolled in secondary level education, with priority to those not planning to go on to post-secondary education, and who meet other restrictions.

- School-to-Work Transition Assistance Program — A program directed at high school seniors planning to enter the full-time labor market upon graduation. Transition services may include job search assistance and referral to training if necessary, including referral to adult training activities and the Job Corps.

FUNDING

JTPA funding is allocated by "subgroups" for the purpose of serving different segments of a community's eligible population. Subgroup funding sources are referred to as "titles". For example, Title IIA funds programs which serve the economically disadvantaged. This category includes adults, youth and veterans. Title IIA receives the majority of funding through JTPA. Title III monies fund programs for dislocated workers, according to a percentage of the eligible population.

THE PARTICIPANT

This section will, hopefully, give you an idea of the process a participant goes through in order to receive JTPA services. Although the JTPA process varies from state to state and SDA to SDA, the following is a general overview.

Many participants come into the JTPA system through local Employment Services (Unemployment Offices, Job Service); others through City and County Welfare (AFDC, WIN); some are recruited by individual training programs (Vendors), and many others through word-of-mouth referrals (friends or relatives who have gone through a JTPA program).

In order for an individual to find out if he is eligible for a JTPA program, he must bring documentation of income, age, address, family size, etc. Based on economic need (or other eligibility), the person is "certified" as eligible. He usually is then tested academically (and, in some cases, for aptitude). Each training program has its own entrance requirements which must be met before referral. The individual then meets with a counselor to discuss his goals, abilities, and test results. Based on that interview, a referral is made. The participant may be referred to classroom training, OJT, special programs, or a social service agency. Supportive services such as transportation and/or child care allowance may also be made available.

Many JTPA participants have social, educational, economic and psychological barriers to overcome in order to complete a training program and/or obtain employment. For these reasons, many drop out of programs.

You will be interviewing participants who completed training (referred to as "positive") and some who did not complete training (referred to as "non-positive"). The same reference is applicable to OJT participants. JTPA also uses codes to reflect the activity of a participant during his enrollment. You will receive a list of "Activity Codes" so you will know if you are addressing someone who has gone through classroom training, OJT, or special programs.

POSTPROGRAM FOLLOW-UP

This is the fourth year that follow-up is being conducted. The Department of Labor has mandated that all JTPA programs conduct a follow-up of its participants (this can be done by State or SDA).

In the past, JTPA could only judge its effectiveness and performance in terms of positive placements (those placed in jobs upon termination from programs); there has been no way to assess the program's long-term results.

Follow-up on each participant will be conducted at 13-week intervals (after leaving the program). The interview will reveal the participant's work history (or lack of one) since leaving the program, and also help us gain some insight into the participant's experiences with the JTPA system.

Information gained from this study will allow us to determine, in part, weaknesses which might exist within a particular JTPA system, poor work history among certain subgroups, and poor retention rates resulting from placement through individual vendors.

CONCLUSION

Postprogram Follow-Up is now being conducted across the nation. The results of this study will be analyzed and validated by agencies on state and national levels.

As an interviewer, you are the most critical component of the program. You will be receiving the responses from participants which will make this study possible.

The purpose of Postprogram Follow-Up is to ascertain the effectiveness of JTPA programs over the long term. Hopefully, this study will produce information which will be utilized to improve JTPA's overall ability to train a qualified and productive workforce.

Exhibit 2.15

Interviewer Evaluation

Interviewer ____________________ Date ____________
Supervisor ____________________

General Interview Performance

	Very Good	Average	Needs Work
• Rapport with respondent	[ ]	[ ]	[ ]
• Pace of interview (ability to control questions)	[ ]	[ ]	[ ]
• Flow of interview (smooth transition)	[ ]	[ ]	[ ]
• Accuracy in asking questions	[ ]	[ ]	[ ]
• Verbal skills (conversational quality, use of inflection)	[ ]	[ ]	[ ]
• Probing (neutral, secures appropriate responses)	[ ]	[ ]	[ ]
• Good judgment (responds well to challenges)	[ ]	[ ]	[ ]
• Accuracy in recording information	[ ]	[ ]	[ ]

Comments

Specific comments on interviewer's performance
____
____

Supervisor recommendations
____
____
____

____

2.6 Setting Up a Management Information System (MIS) for Follow-up

Requirements

There are **no official requirements for Management Information System** (MIS) procedures related to follow-up data collection. However, certain data collection and information retrieval procedures are essential to an effective follow-up effort. The availability and accessibility of **up-to-date addresses and telephone numbers of terminees and at least two backup contacts** are the keys to locating most of the follow-up sample. A **listing of client characteristics** will enable interviewers to confirm that they have reached the correct respondent, will help them to establish rapport, and will identify non-English speaking individuals who may need bilingual interviewers. Many respondents may know the type of training they received and their service provider but not the SDA name or "JTPA." Therefore, **information on the participant's training program and service provider**, as well as their **employment status at termination, employer's name**, and **termination wage**, will enable interviewers to establish credibility and jog the respondents' memory of their JTPA experiences.

Making Adequate MIS Information Available

Whether the MIS system is manual or automated, the following information about each terminee in the sample should be retrieved and made available to interviewers:

- **Name**
- **SDA**
- **JTPA Title** (II-A Adult, II-A Adult Welfare, EDWAA)
- **Current telephone number and mailing address**
- **Backup telephone number and address** of at least one, but preferably two, people who can locate a respondent who cannot be reached (not "emergency numbers" of relatives who live with the terminee)
- **Age**
- **Gender**
- **Ethnicity**
- **Native language and whether the terminee has limited English abilities** to match the interviewer's language to that of the terminee

- **Key dates** including date of termination and start and end dates of the follow-up period and the reference week
- **Name, provider, location, and type of training received**
- **Status at termination** (placed or not placed)

If placed at termination:

- **Placement employer's** name, address, and telephone number
- **Wage at placement**

Increasing the Accuracy and Usefulness of the Follow-up Data

To facilitate follow-up and to increase the accuracy and usefulness of the follow-up data, you need to establish procedures for providing adequate MIS information to interviewers, for editing and entering the follow-up data into the MIS, and for analyzing and reporting the data in a meaningful way. With only five postprogram reporting elements on the JASR/WAPR, Federal reports could probably be completed manually, particularly for small follow-up efforts. However, processing and meaningful analysis of follow-up data, especially of large data files, are best done by computer. Most States, SDAs, and contractors today have automated MIS systems that can be used to streamline follow-up operations. The following strategies have been used effectively:

- Provide to interviewers a single **computer-generated form for each terminee that includes participant data and a record of follow-up contacts.** The questions can also be included. (An example of such a form appears in Exhibit 2.6 in the previous section of the TAG.)

- Use a **machine-readable form** to simplify data entry.

- Establish a Computer-Assisted Telephone Interview (CATI) system to eliminate the need for separate data entry and to ensure complete and accurate data collection and reporting. (See Appendix H for a description of the software to support JTPA follow-up.)

- Build in **MIS edits to check for internal consistency and reasonableness** in the follow-up data. Use local labor market conditions and common sense to establish appropriate limits--for example, that an acceptable hourly wage ranges from $3.80 - $15.00, and that hours worked during the 13th week range from 0-70. Use related data items to identify discrepancies--for example, a large difference between the wage at placement and follow-up weekly earnings. The DOL uses the following edit checks for consistency and reasonableness of SDA-level data when processing your JASR/WAPR data:

  - For Title II-A terminees, the Follow-up Weekly Earnings are compared to the Average Wage at Placement:

$$\frac{\text{Follow-up Weekly Earnings}}{\text{Average Wage at Placement}}$$

    The acceptable range is 30 - 55 hours.

  - The Employment Rate at Follow-up is compared to the Average Weeks Worked:

$$\frac{\text{Average Number of Weeks Worked} \times 100}{13} \div \text{Follow-up Employment Rate}$$

    The acceptable range is 0.8 to 1.2.

- Implement procedures for timely investigation of suspect data and error correction.

- Establish efficient programs for merging participant data with the follow-up data in order to produce reports that provide information useful for evaluation and decision-making.

Section 3 - Reporting Follow-up Results

Once the follow-up data have been collected, the results must be compiled and reported to DOL according to their specifications. Certain calculations must be made to comply with requirements and to ensure that the data reported accurately represent the employment status and wages of eligible respondents during the 13-week follow-up period. This section describes the requirements for calculating and reporting response rates and for completing the follow-up portions of the JASR and WAPR. It also describes guidelines for interpreting and reporting follow-up data for State and local evaluation and management purposes.

3.1 Calculating Follow-up Statistics

As explained in Section 1.2, minimum response rates of 70% must be obtained for each of six group of terminees surveyed. The value of the data is even greater if a higher response rate can be obtained. Response rates must be calculated separately for Title II-A adults and adult welfare recipients and for EDWAA dislocated workers who were employed at termination and those who were not employed at termination. Separate calculations are needed in order to determine whether either group is underrepresented among respondents. Follow-up statistics should be adjusted for any nonresponse bias introduced by differences in response rates. They **must be adjusted** if the difference in response rates between individuals who were employed at termination and those who were not is more than five percent (5%).

Defining Response Rate for Follow-up Data Collection

The response rate is defined as the number of terminees who provide **complete** follow-up information required by DOL, divided by the total number of terminees included in the follow-up sample. It is expressed as the following percentage, rounded to tenths (e.g., 73.6%):

$$\frac{\text{\# terminees with complete follow-up interviews}}{\text{\# terminees selected for follow-up}} \times 100$$

The denominator, or base, of the response rate will be the number of terminees in the follow-up sample. Even if the State or SDA is following up all eligible terminees or more than the minimum required sample size, the **denominator must include every terminee that was selected.**

An interview is considered complete only if the terminee has provided answers to all of the required follow-up questions. Responses such as "don't know" or "don't remember" to the required questions are not counted as acceptable answers. For example, an interview is not counted as complete if the terminee provides information about employment status and earnings during the 13th follow-up week but cannot provide the number of weeks worked during the follow-up period. This terminee would be excluded from the numerator, but would be included in the denominator in calculating the response rate.

In calculating the response rate, persons institutionalized (e.g., in hospitals, prisons, nursing homes) or those who have died or are severely incapacitated (and therefore are unable to be interviewed for the entire follow-up period) should be excluded from the sample. The number of terminees who fall into these categories is generally quite small. All other terminees selected for the follow-up sample **must** be included in the denominator.

Adjusting Follow-up Statistics for Nonresponse Bias

As described in Section 1.2, nonresponse bias occurs when certain groups of terminees are over- or under-represented among the completed follow-up interviews. The follow-up results must accurately reflect **all** selected terminees, not merely those from whom responses could be obtained. Therefore, where the response rates between two groups of terminees (e.g., those who were employed at termination and those who were not) are substantially different, **adjustments for nonresponse bias must be made.**

Adjustments are made by weighting the follow-up data collected according to the proportion of individuals employed at termination and the proportion not employed at termination. Adjusting for nonresponse bias is a straightforward process which can be done manually following the procedures presented in Appendix G. Appendix G includes:

- a worksheet and instructions for calculating differences in response rates to determine whether nonresponse bias adjustments are required

- a worksheet and instructions for computing adjustments for nonresponse bias

Alternately, the adjustments can be done by computer using the "Report" option on the software to support JTPA follow-up, which is described in Appendix H. An example that illustrates the manual adjustment procedure follows:

Example of Nonresponse Bias Adjustment

Suppose that:

- the group eligible for follow-up includes 200 individuals employed at termination and 100 individuals not employed at termination. The SDA is following up on a 100% sample.
- 180 of those employed at termination (90%) completed the interview, and 85% of these **respondents** (153 of them) were employed at follow-up.
- 60 of those not employed at termination (60%) completed the interview, and 40% of these **respondents** (24 of them) were employed at follow-up.

Then, using the procedures presented in Appendix G:

- The correct (or adjusted) follow-up employment rate would be 70% not 73.8%:

Correct (adjusted)

$$70\% = \frac{\left[\frac{200 \times 153}{180}\right] + \left[\frac{100 \times 24}{60}\right]}{300}$$

$$= \frac{170 + 40}{300}$$

Incorrect (not adjusted)

$$73.8\% = \frac{153 + 24}{180 + 60}$$

In the correct (adjusted) result, each group contributes to the overall statistic in proportion to its representation in the total terminee population, not in the **completed** sample.

Failing to adjust for nonresponse bias will proportionately magnify the performance of groups with higher response rates and discount the performance of groups with lower response rates. In other words, if those employed at termination have higher response rates (as they typically do), failing to make the adjustment produces a combined follow-up performance that weights the information more for respondents employed at termination than for the respondents not employed at termination. Although the adjustment does not correct for **all** potential nonresponse biases, it does diminish the bias.

States or SDAs are required to adjust for nonresponse bias for **all** three postprogram measures: employment rate at follow-up, average weekly earnings, and average weeks worked. An adjustment must also be applied to **each** of the groups requiring follow-up data collection: Title II-A adults, Title II-A adult welfare recipients, and EDWAA terminees.

Presently, the adjustment for nonresponse bias is required **only** when the difference in response rates between those terminees who were employed and those who were not employed at termination exceeds five percentage points. If the difference between the response rates is five percent (5%) or less, adjusting for nonresponse is optional since its effect on follow-up performance may be quite small. **Nevertheless, a uniform procedure that makes the adjustment in all cases is recommended.**

Calculating the Required Follow-up Data

Accurately calculating the required follow-up data is a critical prerequisite to reporting and utilizing valid follow-up information. Instructions for calculating and reporting the required follow-up measures appear in detail in the JASR and WAPR instructions (Appendices A and B). Instructions are summarized below, in terms of responses to the required follow-up questions, presented in Exhibit 2.7 (Q refers to the question number, and R, to the total number of respondents):

- **Employment rate at follow-up**: Divide the number of respondents who answered "yes" to Question 1 (employed at follow-up) by the total number of respondents (R). Then, multiply the result by 100 to get a percentage.

$$\frac{\text{Number of respondents employed at follow-up}}{\text{Total number of respondents}} \times 100 = \frac{\text{Sum [Q1]}}{\text{R}} \times 100$$

- **Average weekly earnings (of employed) at follow-up - (Title II-A/JASR):** Divide the sum of the products of the answers to Question 2 (hours per week) and Question 3 (hourly wage) plus the sum of the answers to Question 4 (other earned income) by the number of respondents who answered "yes" to Question 1 (employed at follow-up).

$$\frac{\text{Total gross weekly earnings of respondents employed during the 13th week}}{\text{Total number of respondents employed during the 13th week}} = \frac{\text{Sum }[(\text{Q2} \times \text{Q3}) + \text{Q4}]}{\text{Sum [Q1]}}$$

- **Average hourly wage (of employed) at follow-up - (EDWAA/WAPR):** Add the sum of the answers to Question 3 (hourly wage) to the sum of the answers to Question 4 (other earned income) divided by Question 2 (hours per week). Divide the result by the number of respondents that answered "yes" to Question 1 (employed at follow-up).

$$\frac{\text{Sum of gross hourly wage rates of respondents employed during the 13th week}}{\text{Total number of respondents employed during the 13th week}} = \frac{\text{Sum }[\text{Q3} + \text{Q4}/\text{Q2}]}{\text{Sum [Q1]}}$$

Note that the average hourly wage/weekly earnings of employed respondents at follow-up is based upon only those respondents employed during the 13th follow-up week.

- **Average number of weeks worked in follow-up period**: Divide the sum of the answers to Question 5 (weeks worked, employed at follow-up) plus the sum of the answers to Question 7 (weeks worked, not employed at follow-up) by the total number of respondents.

$$\frac{\text{Total number of weeks worked in the 13-week follow-up period for all respondents}}{\text{Total number of respondents the 13th week}} = \frac{\text{Sum }[Q5] + \text{Sum }[Q7]}{R}$$

  Note that this calculation is based on all respondents, not just those employed. It results in an average number of weeks worked in the follow-up period for all respondents regardless of whether they worked at all during the 13-week postprogram period.

- **Sample size:** Report the total number of terminees selected for contact, including both respondents and nonrespondents. Only deceased, institutionalized (e.g., in hospitals, prisons, nursing homes), or severely incapacitated and unable to be interviewed for the entire follow-up period can be excluded from the sample.

Note: All sums are to be based on answers from all respondents in the appropriate group (II-A Adult, II-A Adult Welfare, EDWAA). Exclude from all calculations any answers from nonrespondents (i.e., terminees who do not answer **all** the relevant required questions).

3.2 - Reporting Follow-up Results

Reporting Results to the DOL

Follow-up data collection and reporting for Title II-A adults and adult welfare recipients and for dislocated workers under EDWAA address the DOL's need for accurate, consistent data that will permit confidence in the measures and comparisons of program performance across States and SDAs within States. Once the follow-up data have been collected, they must be reported to the DOL on the JTPA Annual Status Report (JASR) for Titles II-A terminees, and the Worker Adjustment Program Annual Program Report (WAPR) for EDWAA terminees. Separate WAPRs must be submitted for (1) each SSA; (2) participants and terminees in statewide, regional, or industrywide projects funded under Section 302(c)(1)(B) of EDWAA; and (3) participants and terminees in projects funded under Secretary's National Reserve Grants (Section 302(a)(2).

The following data must be reported in Section III of each report:

- Employment Rate At Follow-up
- Average Weekly Earnings of Employed At Follow-up (JASR)
  Average Hourly Wage of Employed at Follow-up (WAPR)
- Average Number of Weeks Worked in Follow-up Period
- Sample Size
- Response Rate

Data for the first three items (employment rate, earnings, weeks worked) must be adjusted for nonresponse bias, as described in the previous section of the TAG. The "**Report**" option on the software to support JTPA follow-up can be used to produce a file with the required information, in a format that can be printed for the required JASR/WAPR. (See Appendix H.)

Exhibit 3.1 presents **Section III. Follow-up Information** from the current JASR. Complete copies of the PY 1989 JASR and WAPR, along with instructions for completing them, appear as Appendices A and B respectively.

Exhibit 3.1

JASR Section III. Follow-up Information

III. FOLLOW-UP INFORMATION

33	Employment Rate (At Follow-up)			[redacted]	
34	Average Weekly Earnings of Employed (At Follow-up)			[redacted]	
35	Average Number of Weeks Worked in Follow-up Period			[redacted]	
36	Sample Size			[redacted]	
37	Response Rate			[redacted]	

You must provide the DOL with completed follow-up information for the program year no later than 45 days after the end of the program year--that is, by August 15. Because of the scheduled time period allowed for reporting, the data reported to the DOL by August 15 may not be completely edited. Therefore you should report updated data to the DOL as soon as possible after new data are entered and edited into the MIS. The DOL will include the updated information in the database used for devising the regression model worksheets and in its own annual reports.

Reporting Follow-up Results for State and Local Management

As discussed in Section 1.3, States and SDAs can use the follow-up data as a valuable management tool. In addition to reporting the required JASR/WAPR information regarding employment status and earnings 13 weeks after termination, reporting these results in relation to participant characteristics, programs, and service providers is very important. Where follow-up is centralized, it is especially important that States provide comprehensive follow-up data to the SDAs within the State in a timely manner.

Reporting formats. State and local JTPA administrators can determine how best to combine, or aggregate, these data to present follow-up results that can be used for making meaningful comparisons and program decisions. They might, for example, combine results across SDAs, across years, or across similar programs. Clearly labeled tables or graphs, and prose summaries should present relevant data in a concise way. Exhibit 3.2 provides examples of reporting formats that can be meaningful for follow-up data from States, individual SDAs (if the numbers in each group are sufficient), or combinations of SDAs in a State.

Exhibit 3.2

Sample Report Formats for JTPA Follow-up Data
Suggested Reports to SDAs

1. Summary of SDA Data Compared to State Totals

	SDA	State Average	Is Difference Significant?*
Sample Size	1000	600	yes
Number of Respondents	900	450	yes
Response Rate	90%	75%	yes
Follow-up Employment Rate	60%	61%	no
Average Weekly Earnings	$322	$307	no
Average Weeks Worked	10.3	6.8	yes

2. Comparison of Follow-up Data by SDA Contractors

	Contractor A	SDA Average	Is Difference Significant?*
Sample Size			
Number of Respondents			
Response Rate			
Follow-up Employment Rate			
Average Weekly Earnings			
Average Weeks Worked			

3. Comparison of Follow-up Data by Type of Program within SDA

	Program A	SDA Average	Is Difference Significant?*
Sample Size			
Number of Respondents			
Response Rate			
Follow-up Employment Rate			
Average Weekly Earnings			
Average Weeks Worked			

* refers to statistical significance

Exhibit 3.2 (Continued)

JTPA POSTPROGRAM FOLLOW-UP REPORT
PY '87 — FOURTH QUARTER

Table 1 provides statewide summary data on the postprogram employment and earnings experiences for several Title IIA subgroups. As the table indicates, 4,157 Title IIA adult terminees were interviewed during this period. Sixty-eight percent (68%) were employed during the thirteenth week following termination and were earning an average weekly wage of $195.33. Terminees reported an average of 9 weeks employment during the 13 week period following JTPA participation and, for those reporting any employment, worked an average of 34 hours per week.

In examining subgroups of respondents, women were as likely as men to be employed, but were earning an average of $60 less per week than men. Dropouts were less likely to be employed thirteen weeks after JTPA, and earned about $20 less per week than non-dropouts when employed. Older workers (age 55 and over) experienced the lowest average weekly earnings ($148.30). The employment and earnings experience of AFDC/WEOP recipients is quite similar to the overall population of respondents.

TABLE 1

SELECTED OUTCOMES BY CHARACTERISTICS OF JTPA TITLE IIA FOLLOW-UP RESPONDENTS

Characteristic	Number of Respondents	Percent Employed at 13 Weeks	Average Weekly Earnings	Average Weeks Employed	Average Weekly Hours Worked
Women	2,507	68%	$169.98	9.0	32.6
Men	1,650	68	229.52	9.2	35.4
Dropouts	812	59	178.20	7.7	32.7
Non-dropouts	3,345	70	198.93	9.4	34.0
Minorities	619	51	186.14	7.0	33.5
Whites	3,538	72	196.98	9.6	33.8
Handicapped	723	66	185.53	8.9	31.9
Non-Handicapped	3,434	68	197.25	9.1	34.1
Age 55 and Over	526	62	148.30	8.5	28.4
Under Age 55	3,631	69	201.79	9.2	34.5
AFDC/WEOP Recipient	1,060	65	189.11	8.9	33.9
Non-AFDC/WEOP	3,097	68	196.90	9.1	33.7
Welfare Recipient	2,338	63	198.09	8.4	34.0
Non-Welfare	1,819	73	193.06	9.7	33.5
Total Respondents	4,157	68	195.33	9.1	33.8

Exhibit 3.2 (Continued)

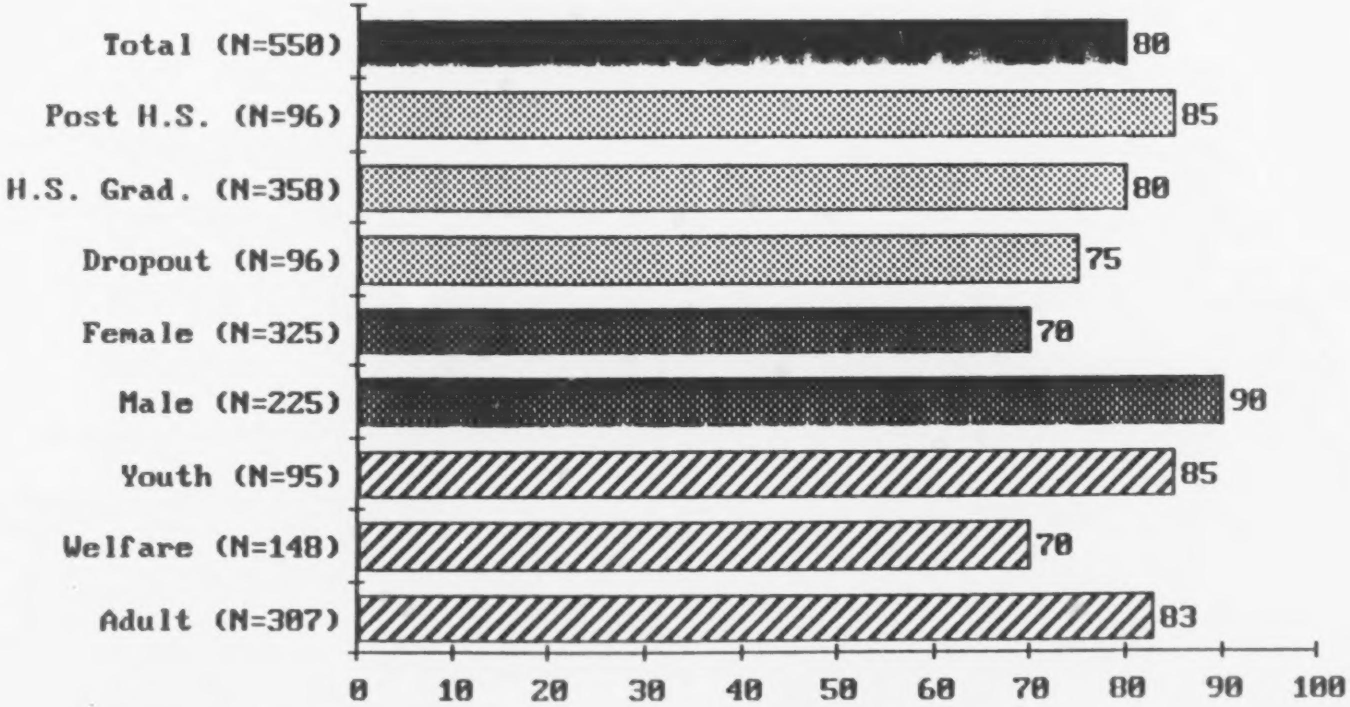
Job Training Council
13-Week Earnings and Employment Status by Major Activity

Activity	# of Responses	% Employed at 13WK	Avg. Wkly. Earnings of Those Employed
Classroom Training	159	67%	$248.68
Customized Training	73	82%	$282.38
OJT	89	81%	$267.92
Supplementary Work	28	46%	$188.08
Tuition Assistance	110	81%	$316.11
Job Search	51	69%	$253.82
TOTAL ALL RESPONDENTS	510	74%	$272.02

Exhibit 3.2 (Continued)

Jobville Follow-Up Results
Program Year Ending June 30, 1987

Figure I: Employment Status by Age, Gender & Education; 13 Weeks After Termination

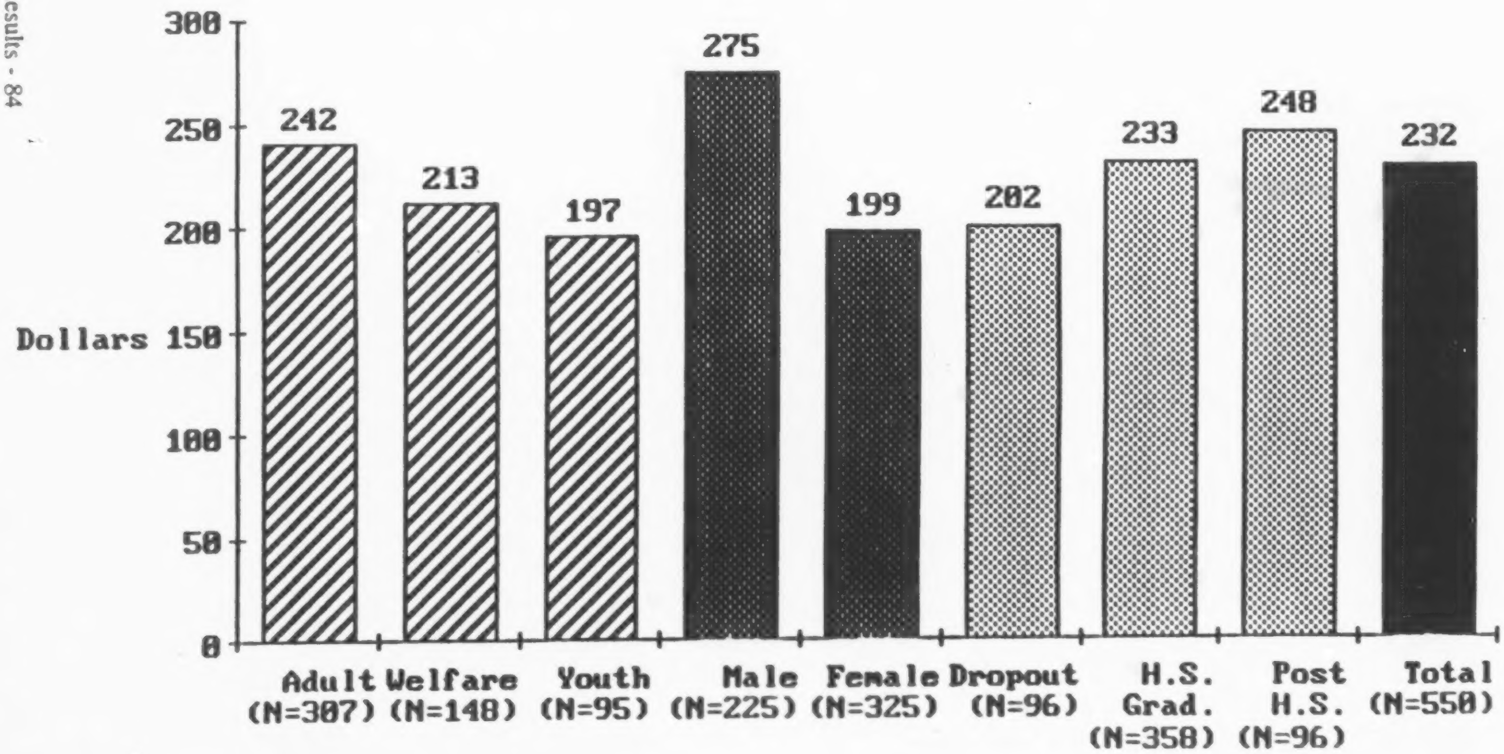


Prepared by Employment and Training Institute

Exhibit 3.2 (Continued)

Jobville Follow-Up Results
Program Year Ending June 30, 1987

Figure II: Average Weekly Gross Wage of Employed by Age, Gender & Education; 13 Weeks After Termination



Prepared by Employment
and Training Institute

Limitations in the data. Despite the value of using follow-up information, even completely accurate information might not be meaningful. The significance of the data depends on the size of each group being examined. A small SDA that wants to evaluate different programs in terms of their follow-up employment rates might not be able to make reliable conclusions based on small numbers of terminees from each program, even if all terminees were followed up.

For example, suppose that in one SDA 60 terminees participated in classroom training programs, and 60 participated in OJT programs. If 50% (30) of those in classroom training were working for pay in week 13, then it would take 65% (39) of the 60 in OJT for OJT to be judged significantly more effective than classroom training. A smaller difference could be attributed to random chance: it might have just happened that individual employers for classroom training terminees had business slowdowns.

These limitations also apply to follow-up data that are not required by DOL--for example, responses to attitudinal questions. It is extremely important not to overinterpret the intense response of one or a small number of respondents. Program decisions must not be based on one terminee's opinion of a classroom training program (favorable or unfavorable); however, if all or a substantial number/percentage of terminees concur, the results might appropriately affect decisionmaking.

In interpreting the follow-up data, especially from small samples, it is important to ask whether the participants in one program were different from those in another, in a way that might account for differences in follow-up results. For example, contractors serving harder-to-serve participants can be expected to have somewhat lower follow-up employment rates. They should not be penalized for reasonable deviations from average follow-up rates.

Exhibit 3.3 presents the minimum numbers of follow-up terminees required in a group for percentage differences in follow-up employment rates between groups to be meaningful. Note that the numbers in the right column of the table refer to **respondents (completed interviews) only, not** nonrespondents in the sample.

Exhibit 3.3

Minimum Sample Size for Differences in Follow-up Employment Rates Between Two Groups to be Meaningful*

Difference in % Employed	Minimum Number of Respondents in Smallest Group for Difference to be Meaningful
5%	540
6	375
8	211
10	135
12	94
15	60
20	34
25	22
30	15
40	10

*These numbers and percentages apply to differences in employment rates only. Corresponding numbers for weekly earnings and weeks worked cannot be presented because only aggregate SDA data are available to DOL. However, they can be calculated at the State and local levels, where individual SDA data are available.

For example, if two training programs had follow-up employment rates of 75% and 55% respectively, there would be a 20% difference. This difference would be significant, and therefore meaningful and useful for program decisions, only if there were at least 34 follow-up respondents in each group. (Note in Exhibit 3.3 that a difference of 20%, in the left hand of the table, requires at least 34 respondents in each group.) For small SDAs, it may take a substantial time to compile the data needed for making reliable decisions, where differences are small; and programs may change during that period. On the other hand, States may be able to support local decisionmaking by combining follow-up data from similar training programs across SDAs in the State.

Section 4 - Assuring the Accuracy and Validity of Follow-up Data (Validation)

This section presents validation in the context of JTPA follow-up data collection. It includes (1) an overview which discusses the importance of validation, the need for communicating validation activities and results to all involved in the follow-up process, and the relationship between validation and centralization or decentralization of follow-up; (2) a description of various validation methods; and (3) other issues related to validation.

4.1 Overview of Validation

Validation is essential in a performance management system like JTPA that rewards programs based on outcomes. To award incentives fairly and to make intelligent management decisions, it is critical that the follow-up data be accurate and that procedures for collecting the data be consistent and meet the Federal requirements. Although it is equally important for termination data to be accurate and valid (since they are also used for management decisions and to determine incentives), MIS records are typically available for documenting and monitoring termination outcomes. Follow-up data, however, depend on a respondent's self-report of employment status and earnings. Validation is especially needed to ensure consistency across SDAs in decentralized States, because locating and interviewing respondents can be done in different settings with different procedures and outcomes. Even in centralized States, there is a need to ensure consistency in the contact information provided by SDAs.

This TAG has presented data collection procedures designed to maximize response rates and enhance the consistency and accuracy of the follow-up information gathered. While these procedures go a long way toward ensuring accurate data, **additional steps can and should be taken to validate the follow-up data**, from the beginning to the end of the process. The need for validation and its cost depends upon several factors, including the organization of the follow-up (whether the State or SDA collects the data), the extent of the follow-up effort, and the size of the respondent population. Although DOL does not require validation of follow-up data, States should assess the need for validation in terms of these factors, and implement consistent procedures across SDAs that produce the most accurate follow-up data possible.

Defining validation. For follow-up data collection, **validation includes any and all activities undertaken to assess and assure the accuracy of the data collected, reported, and ultimately used for important management decisions.** Broadly defined, validation includes all **monitoring and quality control procedures** designed to assure that appropriate and consistent follow-up methods are used. More narrowly defined, validation includes activities designed to **verify, against additional sources of information,** the accuracy and consistency of the follow-up data itself. Both types of validation activities are relevant to insuring high quality follow-up data.

Accuracy of the follow-up data refers to the correctness of the figures reported. Do the reported figures correctly capture each of the follow-up data items, including employment status, weekly earnings, and weeks worked? If a respondent is reported as "employed" at 13 weeks but was actually unemployed, then the data are inaccurate. Although data reported to DOL may contain some minimal error, it is important that the extent of error is small and consistent--that it does not vary **among SDAs**.

Implications of centralization on need for validation. The need for validation, the extent of the validation effort required, and its expense will likely be greater if the responsibility for follow-up is decentralized. When each SDA performs its own follow-up, validation becomes particularly important because States must guard against inconsistent data collection and quality control procedures, as well as inaccuracy from biased reporting. States and SDAs within each State must be assured that all of the **other** SDAS have implemented the follow-up data collection procedures exactly and that the reported data accurately represent the employment experiences of terminees during the follow-up period. Validation should be sufficiently extensive to let each actor in the system rest easy. Decentralized States will need to implement a more extensive, centralized validation to guard against the inconsistencies and biases inherent in follow-ups conducted at the SDA level. More extensive validation will be more expensive as well. Adequate training, setup, supervision, and monitoring of follow-up procedures and gathering data from additional sources of information from SDAs will increase costs.

On the other hand, when follow-up is centralized at the State level--regardless of whether interviewing is in-house or contracted out--validation activities can be more limited, and therefore less expensive. The State's liability in granting awards based upon SDAs' follow-up performance encourages reporting as accurately and consistently as possible to preclude complaints from SDAs based upon inequitable treatment. The primary validation required may be procedural such as supervising staff or monitoring outside contracts. Activities would include supervising data collection activities and monitoring data entry, records, and reports. Because a centralized State uses consistent procedures to collect follow-up data for all SDAs, formal efforts to collect validation data from additional sources are less critical.

In summary, a centralized follow-up provides more assurance of consistently collected, accurate data than a decentralized follow-up, with implications for more efficient validation efforts and lower validation costs.

Communicating validation activities and results. Regardless of whether follow-up and validation are centralized or decentralized, everyone involved in the follow-up process should be aware of the importance of accurate, valid follow-up data; the activities undertaken to validate the data; and the results of these activities. Everyone in the system should be held accountable for implementing consistent procedures that comply with Federal requirements, for obtaining high response rates, and for collecting and reporting accurate data. Monitoring, supervisory, and verification activities should be conducted on a continuing basis, though not scheduled or announced in advance. They should not be secret, however, but rather ongoing activities that are accepted by staff as essential for quality control.

4.2 Validation Methods

This section describes a variety of validation methods, which fall into two principal categories: (1) **monitoring and supervising activities** and (2) **validating follow-up data against additional sources of information.**

Monitoring and Supervising Follow-up Data Collection

Monitoring follow-up data collection is critical to ensuring that appropriate contacts are being made, that all necessary procedures are being followed correctly and consistently, and that adequate training and technical assistance are provided. Monitoring activities ensure that all steps in the follow-up process are conducted correctly, from beginning to end: sampling, timing, locating and contacting appropriate participants, interviewing, coding and entering data, preparing reports, and transmitting information in a timely fashion among States, SDAs, contractors, and the DOL. The following procedures should be **standard practice**, whether the follow-up is centralized, decentralized, conducted in-house or contracted out.

Specify a number or percent of interviews or records to monitor periodically. The percent will depend on the size of the follow-up effort. In a centralized follow-up or in a large SDA, a sample of at least 5-10% of the follow-up interviews for each interviewer should routinely be monitored. In a small SDA, at least 10 interviews for each interviewer should be monitored to ensure that they are being conducted properly. If the follow-up is contracted out, procedures such as these should be specified in the RFP and contract.

- **Listen in on interviews** to make sure all questions are asked appropriately. Record the responses, and compare them to the responses recorded by the interviewer. Check to make sure ambiguities and inconsistencies were clarified in a neutral fashion. Provide interviewers with immediate feedback. Monitoring interviews in this way is an opportunity not only to validate, but to praise, instruct, and learn about effective interviewing techniques.

- **Review contact logs and completed interview records.** Review the logs to ensure that adequate and timely attempts are made to reach terminees. Examine interview records for completeness and accuracy.

- **Supervise and verify data entry.** Double data entry (100% key verification) is recommended to ensure accuracy.

- **Check data against the DOL limits described in Section 2.6.**

- **Establish additional MIS checks** for internal consistency and reasonableness, based on local labor market conditions and common sense. Identify and resolve inconsistent or out-of-range responses--for example, set limits for hourly wages at $3.80 - $15.00, and for hours worked during the 13th week at 0 -70. **Compare paper records with MIS records** to identify and resolve discrepancies--for example, large disparities between placement and follow-up data.

- **Verify the summary follow-up data that will be reported to the DOL against individual terminee records.** This may involve comparison of paper records with MIS records.

- **Check the MIS software** to ensure that it is accurately recording data and making appropriate edits.

- **Conduct periodic monitoring visits** to ensure compliance if follow-up is done by SDAs or outside contractors. Follow-up should be an integral component of each State's monitoring activities. Monitoring should identify problems in procedures and data collected, and recommend corrective actions to ensure accuracy of the follow-up results.

- **If the above validation activities reveal a substantial number of discrepancies (> 5% of the data examined), expand your validation activities to include a larger percentage of the follow-up sample.** Monitoring or review of 100% of the interviews or records may, in fact, be warranted if discrepancies are very large.

Validating Follow-up Data Against Additional Sources of Information

Comparing follow-up data with information obtained from other sources is a useful way of validating the follow-up effort, particularly for decentralized States who are granting incentives based on the follow-up results. Several methods are appropriate. As with monitoring activities, identify a specific percentage or number of the follow-up sample to validate.

- **Re-interview respondents** to assure they have been previously contacted and to verify their responses. Be sure to alert terminees during the initial interview that they might be called again by another person.

- **Contact employers,** by phone or mail, to verify the follow-up employment and wage data provided by participants. If you contact employers, be sure to obtain signed permission from terminees to do so, (see Exhibit 2.4, Employer Release Form) and to establish cooperative relationships with local employers. When contacting employers, it is very important not to release confidential information about participants or to disrupt or irritate employers who could be the source of future JTPA placements. **It is also very important that information provided by employers NOT be used for JASR/WAPR reporting purposes in lieu of information provided by JTPA terminees.** A sample employer verification form appears as Exhibit 4.1.

- **Ask additional questions and compare responses to MIS records** to verify that correct participants have been interviewed and that responses are accurate. For example, have interviewers ask terminees for their **birthdates,** but do not provide this information to the interviewers. Then match the data to the MIS records.

- In centralized States where SDAs do any independent follow-up, **compare SDA data to State follow-up data.** If two separate follow-ups are done by the State and SDA, participants should be informed that they may be called more than once and results can be compared.

- **Compare follow-up data to Unemployment Insurance (UI) wage records.** Employers in all States are required to report the total wages paid to employees during each calendar quarter. This information, called the employee's **UI Wage Record,** can be compared to the wage information provided by participants as an approximate validation measure. The advantages of using UI records are that it uses information that is already available, it is inexpensive, and it is relatively easy to do. The disadvantages are that the wage records do not include the specific JASR information on the 13th follow-up week, are not available until the second quarter after the JTPA follow-up period ends, and may not include all JTPA terminees (self-employed, out-of-State, and "underground" jobs may not be reported) or all income and employment for terminees (tips, second jobs).

Exhibit 4.1

Sample Employment Verification Form

Company name____

Address____

City, State, Zip______________________________________

Employee____

Social Security Number__________________________________

Start date_____________________Currently working? Yes__ No__

Total number of weeks worked since start date________________

Hourly wage since start date_____________________________

Was Employee working the week of___________________________

Number of Hours the Employee worked the week of_________Hrs.________

Employees Hourly Wage the week of______________$ ______________

Employees earnings before deductions from Tips $_____Overtime $________

Bonuses $_______Commissions $_________ the week of__________________

Job Title____

Brief Job Description____________________________________

____

____

Please return to Camden County Employment & Training Center

Thank you.

*This form is used by the Camden County Employment and Training Center, Camden, NJ.

4.3 Other Validation Issues

Other validation issues that States and SDAs need to address include identifying and resolving discrepancies found when validating follow-up data, as well as the implications of invalid data.

Identifying and Resolving Discrepancies

Validating follow-up data with information obtained from other sources is a comparative process. Information provided by a respondent is compared with another supposedly accurate measure. If there are discrepancies, data should be changed to provide the most accurate information, **if this is possible to determine**.

Unfortunately, the data used to validate a terminee's responses may be no better than the data provided by the terminee. Suppose the terminee reports earning $150.00 during the 13th follow-up week. The employer reports that the terminee was paid $120.00 for that week. Who is correct?

It is possible that both are correct. The terminee may have been paid only $120.00 by the contacted employer, but might have earned $30.00 in tips or at a second job. It is also possible that both are wrong. For these reasons, **data should not be changed without recontacting the respondent, providing information about the discrepancy, and asking for assistance in its resolution.**

Comparisons with Unemployment Insurance (UI) records can also lead to the identification of apparent discrepancies. UI records may not match. It must be remembered that not all employers contribute to the UI pool, that individuals often earn tips or other income that are not reliably reported to UI, and that UI records are sometimes incorrect.

Another type of validation involves reinterviewing the respondent. Because human memory is imperfect, if you were asked, "How much money did you earn last week?" and a month later were asked the same question, you would most likely give two different numbers. (You might also believe that your original answer was more accurate since it was closer to the week in question.)

Validation efforts will frequently lead to the identification of discrepancies. If the discrepancies are in only a small percentage of cases (i.e., fewer than 10%) **and** are small and not always in the same direction (i.e., systematic over-reporting of income), they can be tolerated because they will not seriously distort aggregate statistics. However, unresolved discrepancies can seriously reduce the value of follow-up effort if any one of these conditions occurs:

- more than a small percentage of cases have discrepancies
- any of the discrepancies are large
- the discrepancies are always in the same direction

If respondents consistently under- or over-report their earnings, data will be biased and conclusions drawn from these data may not be meaningful. Validations that result in the detection of a consistent directional bias demand further action. The first thing to do is to ascertain that the source of the validating information is unbiased. As previously mentioned, UI records and employers may not include tips or other income. Recontacting respondents is essential to get more accurate employment and earnings information and to determine the source of any inaccuracies. Once you know why incorrect data were provided, you can develop new procedures or modify old procedures to avoid recurrence of such problems.

Large discrepancies may indicate misinterpretations or improper administration of the questions. Once again, the source of the validating information should be checked to make certain that critical components are not being excluded or that improper items are not being included. Recontacting respondent is again necessary to determine the source of the inaccuracies and to permit modification of old procedures or the development of new procedures to avoid recurrence of these problems.

Implications of Invalid Data

Random discrepancies have no more effect on the value of the follow-up data than sampling error. However, systematic discrepancies, or bias, are more serious; they can lead to erroneous conclusions about program effectiveness. The detection of bias in the data demands that procedures be reviewed and changed to avoid this bias. Such information should be shared with the Department of Labor to permit proper interpretation of the employment and income data you provide them.

In addition, discrepancies identified during validation efforts must be communicated with the State, SDA, or contractor staff involved. Corrective action should be designed to eliminate the problems found during monitoring and validation. Appropriate corrective action will depend upon the unique situation of the State or SDA involved, and might relate to various components of the follow-up system, ranging from interviewer training, to procedures for locating terminees, to procedures for entering and analyzing the data.

Regardless of the outcome of your validation efforts, the DOL should be informed of their results. It is very useful to have an indication of validity to interpret data properly. When you are unsure of the level of validity, it is difficult to draw meaningful conclusions and make recommendations based on these data.

References

National Alliance of Business, San Francisco Regional Service Office. Implementing a participant follow-up system: requirements and options. Course developed in Response to California RFP No. 8677.

National Alliance of Business (1986). Measuring-up: Planning and managing with performance standards - PY 88. Washington, DC.

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National Commission for Employment Policy (yet to be published). Feasibility study of using unemployment insurance wage records to evaluate pre/post-JTPA employment and earnings.

National Governors Association (June 1984). JTPA follow-up: A decision-makers guide to the issues. Washington, DC.

U.S. Department of Labor, Employment and Training Administration (June 1986) Follow-up technical assistance guide for postprogram data collection under the Job Training Partnership Act. Version 3.0. Washington, DC.

West, Richard W. and Dickinson, Katherine P. (June 1985). Issues Involved in Sampling to obtain postprogram Measures of Performance. Menlo Park, California: SRI International. Mimeo draft.

West, Richard W. and Dickinson, Katherine P. Performance Standards '87 Following Up: Follow-up Techniques Training Materials. Menlo Park, CA: SRI International.

Appendix A

JTPA Annual Status Report and Instructions (1989 JASR)

[NOTE: The PY 1990 JASR and Instructions should be inserted here when it becomes available.]

JTPA Annual Status Report (JASR)

1. Purpose. The JTPA Annual Status Report (JASR) displays cumulative data on participation, termination, performance measures and the socio-economic characteristics of all terminees on an annual basis. The information will be used to determine levels of program service and performance measures. Selected information will be aggregated to provide quantitative program accomplishments on a local, State, and national basis.

2. General Instructions. The Governor will submit: 1) a combined Statewide JASR for Title III Formula and Discretionary National Reserve (Column D only); 2) for Title II-A (Columns A-C) a separate JASR for each designated Service Delivery Area (SDA) and 3) a separate Statewide JASR summary of the SDA report data. (This Statewide JASR summary of individual SDA data should not be submitted by single-SDA States.) Grantees may determine whether the reports are submitted on JASR forms or as a computer printout, with data, including signature and title, date signed and telephone number, arrayed as indicated on the JASR form. If revisions are made to the JASR data after the reporting deadline, revised copies of the JASR should be submitted to DOL as soon as possible according to the required reporting procedures. Submittal of one or more JASRs with revised information for Total Participants, Total Terminations and/or Total Program Costs (Federal Funds) usually will require submittal of a revised JSSR which includes the final quarter of the same program year.

   NOTE: For JASR reporting purposes, Title II-A shall refer to programs operated with funds authorized under Section 202(a) of the Act or otherwise distributed by the Governor under Section 202(b)(3) (6%) of the Act--incentive grants for service to the hard-to-serve and programs exceeding performance standards. (Concentrated Employment Programs (CEPs) should report total Title II-A program expenditures of 78% funds, special supplemental allocations, and 6% incentive grants.) Do not include data on (6%) funds authorized under Section 202(b)(3) for technical assistance. Participants and expenditures under Title I, Sections 123 (8%) and 124 (3%), and expenditures under Title II, Section 202 (b)(4)(5%) and any participants, if applicable, are likewise excluded from the JASR.

   NOTE: Participant and expenditure information under Title II-B, Summer Youth Employment and Training Program (SYETP), is also excluded from the JASR.

   SDAs should not terminate from Title II-A youths who participate in the Title II-B Summer Program unless they are not expected to return to Title II-A for further employment, training and/or services.

   If these youths receive concurrent employment, training and/or services under both Titles II-A and II-B, they are to be considered participants in both titles for purposes of recording actual number of weeks participated, dollars expended, and other pertinent data.

If, however, these youths do not receive Title II-A employment, training and/or services while participating in Title II-B, this period is not to be included in the calculation of actual number of weeks participated in Title II-A at Line 29, Column C.

The reporting period begins on the starting date of each JTPA program year, as stated in Section 161 of the Act. Reports are due in the national and regional offices no later than 45 days after the end of each program year. Two copies of the JASR are to be provided to:

Employment and Training Administration
U.S. Department of Labor
ATTN: TSVR -- Rm. S-5306
200 Constitution Avenue, N.W.
Washington D.C. 20210

At the same time an additional copy of the JASR is to be provided to the appropriate Regional Administrator for Employment and Training in the DOL regional office that includes the State in which the JTPA recipient is located.

3. Facsimile of Form. See the following page.

4. Instructions for Completing the JTPA Annual Status Report (JASR).

   a. State/SDA Name, Number and Address

   Enter the name and address of the State agency that will administer the grant recipient's program (Title III report). Enter the name, **ETA assigned SDA number** and address of the designated SDA subrecipient, as appropriate (Title II-A report).

   b. Report Period

   Enter in "From" the beginning date of the designated JTPA program year and enter in "To" the ending date of that program year.

   c. Signature and Title (at bottom of the page)

   The authorized official signs here and enters his/her title.

U.S. DEPARTMENT OF LABOR Employment and Training Administration **JTPA** **ANNUAL STATUS REPORT**	a. STATE/SDA NAME AND ADDRESS	b. REPORT PERIOD FROM	TO

I. PARTICIPATION AND TERMINATION SUMMARY	Total Adults (A)	Adults (Welfare) (B)	Youth (C)	Dislocated Workers (D)
A. TOTAL PARTICIPANTS				
B. TOTAL TERMINATIONS				
1. Entered Unsubsidized Employment				
a. Also Attained Any Youth Employability Enhancement	■	■		■
2. Youth Employability Enhancement Terminations	■	■		■
a. Attained PIC-Recognized Youth Employment Competencies	■	■		■
b. Completed Program Objectives (14-15 year olds)	■	■		■
3. All Other Terminations				

Line No.		II. TERMINEES PERFORMANCE MEASURES INFORMATION	(A)	(B)	(C)	(D)
1	Sex	Male				
2		Female				
3	Age	14 - 15	■	■		■
4		16 - 17	■	■		
5		18 - 21	■	■		
6		22 - 29			■	
7		30 - 54			■	
8		55 and over			■	
9	Education Status	School Dropout				
10		Student				
11		High School Graduate or Equivalent (No Post-High School)				
12		Post-High School Attendee				
13	Family Status	Single Head of Household With Dependent(s) Under Age 18				
14	Race/Ethnic Group	White (Not Hispanic)				
15		Black (Not Hispanic)				
16		Hispanic				
17		American Indian or Alaskan Native				
18		Asian or Pacific Islander				

c. SIGNATURE AND TITLE	d. DATE SIGNED	e. TELE. NO.

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a. STATE/SDA NAME AND ADDRESS	REPORT PERIOD FROM	TO

Line No.		II. TERMINEES PERFORMANCE MEASURES INFORMATION - Continued	Total Adults (A)	Adults (Welfare) (B)	Youth (C)	Dislocated Workers (D)
19	Other Barriers To Employment	Limited English Language Proficiency				
20		Handicapped				
21		Offender				
22		Reading Skills Below 7th Grade Level				
23		Long-Term AFDC Recipient				
24	U.C. Status	Unemployment Compensation Claimant				
25	Labor Force Status	Unemployed: 15 or More Weeks of Prior 26 Weeks				
26		Not in Labor Force				
27	Welfare Grant Info	Welfare Grant Type: AFDC				
28		GA/RCA				
29		Average Weeks Participated				
30		Average Hourly Wage at Termination				
31		Total Program Costs (Federal Funds)				
32		Total Available Federal Funds				
		III. FOLLOW-UP INFORMATION				
33		Employment Rate (At Follow-up)				
34		Average Weekly Earnings of Employed (At Follow-up)				
35		Average Number of Weeks Worked in Follow-up Period				
36		Sample Size				
37		Response Rate				
		IV. YOUTH EMPLOYMENT COMPETENCY ATTAINMENT INFORMATION				
38		Attained Any Competency Area				
39		Pre-Employment/Work Maturity Skills				
40		Basic Education Skills				
41		Job Specific Skills				

REMARKS:

d. Date Signed

Enter the date the report was signed by the authorized official.

e. Telephone Number

Enter the area code and telephone number of the authorized official.

5. General Information. For purposes of the JASR, the Total Adults and Adults (Welfare) columns will include terminees age 22 years and older. Thus, the column breakouts are based strictly on age rather than on program strategy. The youth column will include terminees who were age 14-21 at the time of eligibility determination. The Dislocated Workers column may include adults and youth, as applicable.

Unless otherwise indicated, data reported on characteristics of terminees should be based on information collected at the time of eligibility determination.

CHARACTERISTICS INFORMATION OBTAINED ON AN INDIVIDUAL AT THE TIME OF ELIGIBILITY DETERMINATION FOR THE RECIPIENT'S JTPA PROGRAM SHOULD NOT BE UPDATED WHEN THE INDIVIDUAL TERMINATES FROM THE JTPA PROGRAM.

COLUMN HEADINGS

Column A Total Adults

This column will contain an entry for each appropriate item for all adult participants in Title II-A only.

Column B Adults (Welfare)

This column will contain an entry for each appropriate item for adult participants in Title II-A who were listed on the welfare grant and were receiving cash payments under AFDC (SSA Title IV), General Assistance (State or local government), or the Refugee Assistance Act of 1980 (PL 96-212) at the time of JTPA eligibility determination. For reporting and performance standards purposes, exclude those individuals who receive only SSI (SSA Title XVI) from entries in Column B.

NOTE: Column B is a sub-breakout of Column A; therefore, Column B should be less than or equal to Column A for each line entry.

Column C Youth

This column will contain an entry for each appropriate item for all participants, aged 14 - 21, in Title II-A only.

Column D Dislocated Workers

This column will contain an entry for each appropriate item for all participants in Title III Formula and Discretionary National Reserve who were determined to be eligible dislocated workers.

NOTE: Columns A, B, and C apply to Title II-A only. Column D applies to Title III only. All information regarding a given participant must be entered in the same column, e.g., Column C for a youth in Title II-A.

The sum of the entries (all SDAs in a State) in Columns A and C, Item I.A., Total Participants, of the JASR should equal the entry in Column A, Item III.A.1., SDA Participants, of the JSSR, for the same recipient, that includes the final quarter of the same program year. The entry in Column D, Item I.A. of the Statewide JASR for Title III should be the sum of the entries in Columns B and C, Item III.A. of the JSSR, for the same recipient, that includes the final quarter of the same program year for the same grant.

The sum of the entries (all SDAs in a State) in Columns A and C, Item I.B., Total Terminations, of the JASR should equal the entry in Column A, Item III.B.1., SDA Terminations, of the JSSR, for the same recipient, that includes the final quarter of the same program year. The entry in Column D, Item I.B. of the statewide JASR for Title III should be the sum of the entries in Columns B and C, Item III.B. of the JSSR, for the same recipient, that includes the final quarter of the same program year for the same grant.

SECTION I - PARTICIPATION AND TERMINATION SUMMARY

Section I displays the program's accomplishments in terms of the total cumulative number of participants in the program and the number and types of terminations from the program, as of the end of the reporting period.

Entries for Items I.A. and I.B. are cumulative from the beginning of the program year through the end of the reporting period.

Item I.A. Total Participants

Enter by column the total number of participants who are or were receiving employment, training or services (except post-termination services) funded under that program title through the end of the reporting period, including both those on board at the beginning of the designated program year and those who have entered during the program year. If individuals receive concurrent employment, training and/or services under more than one title, they are to be considered participants in both titles for purposes of recording actual number of weeks participated, dollars expended, and other pertinent data.

"Participant" means any individual who has: (1) been determined eligible for participation upon intake; and (2) started receiving employment, training, or services (except post-termination services) funded under the Act, following intake. Individuals who receive only outreach and/or intake and initial assessment services or postprogram follow-up are excluded.

Participants who have transferred from one title to another, or between programs of the same title, should be recorded as terminations from the title or program of initial participation and included as participants in the title or program into which they have transferred, unless they are to be considered concurrent participants in both titles or programs.

Item I.B. Total Terminations

Enter by column the total number of participants terminated after receiving employment, training, or services (except post-termination services) funded under that program title, for any reason, from the beginning of the program year through the end of the reporting period. This item is the sum of Items I.B.1. through I.B.3.

"Termination" means the separation of a participant from a given title of the Act who is no longer receiving employment, training, or services (except post-termination services) funded under that title. NOTE: Individuals may continue to be considered as participants for a single period of 90 days after last receipt of employment and/or training funded under a given title. During the 90-day period, individuals may or may not have received services. For purposes of calculating average weeks participated, this period between "last receipt of employment and/or training funded under a given title" and actual date of termination is defined as "inactive status" and is not to be included in Line 29.

Individuals who initially participate in Title III Formula funded activity and subsequently participate in Title III Discretionary National Reserve funded activity (and conversely), FOR THE COMPLETION OF THE INITIALLY DETERMINED TRAINING OBJECTIVE, may be considered to be concurrent participants in both Title III programs. The type of termination determined for the subsequent program also should be recorded for the initial program for such participants.

For purposes of calculating average weeks participated for such concurrent Title III program participants, the period between "last receipt of employment and/or training funded under a given Title III program" (i.e., Formula or Discretionary National Reserve) and actual date of termination from that Title III program is defined as "inactive status" and is not to be included in Line 29.

Item I.B.1. Entered Unsubsidized Employment

Enter by column the total number of participants who, at termination, entered full- or part-time unsubsidized employment through the end of the reporting period. Unsubsidized employment means employment not financed from funds provided under the Act and includes, for JTPA reporting purposes, entry into the Armed Forces, entry into employment in a registered apprenticeship program, and terminees who became self-employed.

Item I.B.1.a. Also Attained Any Youth Employability Enhancement

Enter the total number of youth who (1) entered unsubsidized employment, Item I.B.1., and (2) also attained any one of the five youth employability enhancements (as enumerated in the instructions for Item I.B.2. below and defined in Appendix C). **This item is a sub-breakout of Item I.B.1.**

Item I.B.2. Youth Employability Enhancement Terminations

Enter the total number of youth who were terminated under one of the Youth Employability Enhancements through the end of the report period. "Youth Employability Enhancement" means an outcome for youth, other than entered unsubsidized employment, which is recognized as enhancing long-term employability and contributing to the potential for a long-term increase in earnings and employment. Outcomes which meet this requirement shall be restricted to the following: **(1) Attained PIC-Recognized Youth Employment Competencies (two or more); (2) Entered Non-Title II Training; (3) Returned to Full-Time School; (4) Completed Major Level of Education; or (5) Completed Program Objectives (14-15 year olds).**

NOTE: For reporting purposes, **a youth shall not be counted in Item I.B.2. if s/he entered unsubsidized employment**, and shall be counted in only one of the five categories enumerated above, even though more than one outcome may have been achieved.

Item I.B.2.a. Attained PIC-Recognized Youth Employment Competencies

Enter the total number of youth who, at termination, have demonstrated proficiency as defined by the PIC in **two or more** of the following three skill areas **in which the terminee was deficient at enrollment:** pre-employment/work maturity, basic education, or job-specific skills. Competency gains must be achieved through program participation and be tracked through sufficiently developed systems that must include: quantifiable learning objectives, related curricula/training modules, pre- and post-assessment, employability planning, documentation, and certification. This item is a sub-breakout of Item I.B.2.
During PY '88, competency attainment in one skill area will meet this definition. The entry for Item I.B.2.a. must be equal to or smaller than the entry for Line 38 in PY 1988 and PY 1989.

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NOTE: Terminees who have attained a competency in **basic education skills and/or job specific skills** through training funded under **8% programs and/or cooperative agreements may** be counted in Item I.B.2.a. provided such training was for completion of a training objective initially determined while in a youth employment competency system operated under 78% funds.

Appendix B defines the minimal structural and procedural elements of a sufficiently developed youth employment competency system as well as the minimal requirements for ensuring consistency in the reporting of competency attainment in the pre-employment/work maturity skill area.

Item I.B.2.b. Completed Program Objectives (14-15 year olds)

Enter the total number of youth (ages 14 and 15 only) who, at termination, had completed a program objective. This item is a sub-breakout of Item I.B.2.

NOTE: For Column C, (1) Item I.B.2.b. cannot be greater than Item II.3., (2) the sum of Items I.B.2.a. and I.B.2.b. cannot be greater than Item I.B.2. and (3) Item I.B.1. plus Item I.B.2. plus Item I.B.3. must equal Item I.B.

Item I.B.3. All Other Terminations

Enter by column the total number of participants who were terminated for reasons other than those in Items I.B.1. and I.B.2., successful or otherwise, through the end of the reporting period. Include intertitle transfers here. See notes at Item I.B.

SECTION II - TERMINEE PERFORMANCE MEASURES INFORMATION

Section II displays performance measures/parameters information. As indicated previously, data reported on characteristics of terminees should be based on information collected at time of eligibility determination unless otherwise indicated.

Governors may develop any participant record which meets the requirements of Section 629.35(c) and (d) of the JTPA regulations. The DOL/ETA Technical Assistance Guide: The JTPA Participant Record, dated May 1983, may be used as a reference.

Line Item Definitions and Instructions

Sex

Line 1 Male
Line 2 Female

Distribute the terminees by column according to Sex. The sum of Lines 1 and 2 in each column should equal Item I.B. in that column.

Age

Line 3	14-15
Line 4	16-17
Line 5	18-21
Line 6	22-29
Line 7	30-54
Line 8	55 and over

Distribute the terminees by column according to Age. The sum of Lines 3 through 8 in each column should equal Item I.B. in that column.

Education Status

Line 9	School Dropout
Line 10	Student
Line 11	High School Graduate or Equivalent (No Post-High School)
Line 12	Post-High School Attendee

Distribute the terminees by column according to Education Status. The sum of Lines 9 through 12 in each column should equal Item I.B. in that column.

Family Status

Line 13	Single Head of Household with Dependent(s) Under Age 18.

Enter the total number of terminees by column for whom the above Family Status classification applies.

Race/Ethnic Group

Line 14	White (Not Hispanic)
Line 15	Black (Not Hispanic)
Line 16	Hispanic
Line 17	American Indian or Alaskan Native
Line 18	Asian or Pacific Islander

Distribute the terminees by column according to the Race/Ethnic Groups listed above. For purposes of this report, Hawaiian Natives are to be recorded as "Asian or Pacific Islander". The sum of Lines 14 through 18 in each column should equal Item I.B. in that column.

Other Barriers to Employment

Line 19	Limited English Language Proficiency
Line 20	Handicapped
Line 21	Offender
Line 22	Reading Skills Below 7th Grade Level
Line 23	Long-Term AFDC Recipient

Enter the total number of terminees by column for whom each of the above Other Barriers to Employment apply.

U. C. Status

Line 24	Unemployment Compensation Claimant

Enter the total number of terminees by column for whom the above Unemployment Compensation Status classification applies.

Labor Force Status

Line 25	Unemployed: 15 or More Weeks of Prior 26 Weeks
Line 26	Not in Labor Force

Enter the total number of terminees by column for whom each of the above Labor Force Status classifications apply.

Welfare Grant Information

Line 27	Welfare Grant Type:	AFDC
Line 28		GA/RCA

Distribute by column the total number of adult and youth welfare terminees who, at eligibility determination, were listed on the welfare grant and were receiving cash payments under **AFDC** (SSA Title IV), **GA,** General Assistance (State or local government) or **RCA** (Refugee Cash Assistance) under the Refugee Assistance Act of 1980 (PL 96-212). If a welfare recipient terminee received AFDC cash payments, include such terminee on Line 27. A welfare recipient terminee who received cash payments under GA and/or RCA, but not AFDC, should be included on Line 28. The sum of Lines 27 and 28 in Column B, Adults (Welfare), should equal Item I.B. in that column. The sum of Lines 27 and 28 in Column C, Youth, should be the same as or less than Item I.B. in that column.

Other Program Information

Line 29	Average Weeks Participated

Enter by column the average number of weeks of participation in the program for all terminees. Weeks of participation include the period from the date an individual becomes a participant in a given title through the date of a participant's last receipt of employment and/or training funded under that title. **Exclude the single period of up to 90 days during which an individual may remain in an inactive status prior to termination. Time in inactive status for all terminees should not be counted toward the actual number of weeks participated.** Inactive status is defined as that period between "last receipt of employment and/or training funded under a given title" and actual date of termination. See note at Item I.B.

To calculate this entry: Count the number of days participated for each terminee, including weekends, from the start date of his/her participation in the title until his/her last receipt of employment and/or training under that title. For those who receive services only, use date of last receipt of such services. Divide this result by 7. This will give the number of weeks participated for that terminee. Sum all the terminees' weeks of participation and divide the result by the number of terminees, as entered (by column) in Item I.B. **This entry should be reported to the nearest whole week.**

Line 30 Average Hourly Wage at Termination

Enter by column the average hourly wage at termination for the total number of terminees in Item I.B.1.

To calculate this entry: Sum the hourly wage at termination for all the terminees shown in Item I.B.1. Divide the result by the number of terminees shown in Item I.B.1.

Hourly wage includes any bonuses, tips, gratuities and commissions earned.

Line 31 Total Program Costs (Federal Funds)

Enter the total accrued expenditures, through the end of the reporting period, of the funds allocated to SDAs under Section 202 (a) of the Act or otherwise distributed by the Governor to SDAs under Section 202(b)(3) -- incentive grants for services to the hard-to-serve and programs exceeding performance standards -- for Title II-A programs in Columns A and C (includes costs of services to participants aged 14-21), as appropriate, for all participants served. Do not include expenditures of funds authorized under Section 202(b)(3) for technical assistance. Exclude expenditures under Title I, Sections 123 (8%) and 124 (3%) and Title II Section 202(b)(4) (5%). Enter the total accrued expenditures of Title III funds received by the Governor under Section 301 of the Act in Column D only, for all Title III participants served through the end of the reporting period. Include expenditures of Federal funds only, both Formula and Discretionary National Reserve.

NOTE: **Entries will be made to the nearest dollar. Negative entries are not acceptable.** The JASR program cost data will be compiled on an accrual basis. If the recipient's accounting records are not normally maintained on an accrual basis, the accrual information should be developed through an analysis of the records on hand or on the basis of best estimates.

The sum of the entries in Columns A and C, Line 31, Total Program Costs, of the JASR (i.e., total for the State's SDAs under Title II-A) should equal the entry in Column A, Item I.A.1., SDA Total Program Expenditures, of the JSSR, and the sum of the entries (all SDAs in a State) in Column C, Line 31 of the JASR should equal the entry in Column A, Item II. of the JSSR, for the same recipient, that includes the final quarter of the same program year. The entry in Column D, Line 31, of the Statewide JASR for Title III should be the sum of the entries in Columns B and C, Item I.A. of the JSSR, for the same recipient, that includes the final quarter of the same program year for the same grant.

Line 32 Total Available Federal Funds

Enter the total Federal funds available for the Title II-A or Title III program described on this report including (1) unexpended funds carried over from previous program years, (2) funds allocated or awarded for this program year, and (3) any reallocation that **increased or decreased** the amount of funds available for expenditure through the end of this reporting period. **Enter all Title II-A funds (Adults and Youth) in Column A and all Title III funds in Column D.** Title II-A funds include those allocated to the SDA by the Governor under Section 202(a) of the Act, as well as incentive grants for services to the hard-to-serve and for programs exceeding performance standards under Section 202(b)(3). Exclude funds authorized under Section 202(b)(3) (6%) for technical assistance to SDAs and funds received for activities under Sections 123 (8%) and 124 (3%) and Section 202(b)(4) (5%). Title III funds include all Formula amounts under Section 301(b) and all Discretionary National Reserve awards under Section 301(a).

SECTION III - FOLLOW-UP INFORMATION

Section III displays information based on follow-up data which must be collected through participant contact to determine an individual's labor force status and earnings, if any, during the 13th full calendar week after termination and the number of weeks s/he was employed during the 13-week period. Follow-up data should be collected from participants whose 13th full calendar week after termination ends during the program year (the follow-up group). **Thus, follow-up will be conducted for individuals who terminate during the first three quarters of the program year and the last quarter of the previous program year.**

Follow-up data will be collected for the following terminees: Title II-A adults, adult welfare recipients, and Title III dislocated workers (Columns A, B, and D). No follow-up information is required for Title II-A youth (Column C).

The procedures used to collect the follow-up data are at the discretion of the Governors. **However, in order to ensure consistency of data collection and to guarantee the quality of the follow-up information, follow-up procedures must satisfy certain criteria. (See the Follow-up Guidelines included in these JASR instructions, Appendix A.)**

NOTE: Every precaution must be taken to prevent a "response bias" which could arise because it may be easier to contact participants who were employed at termination than those who were not and because those who entered employment at termination are more likely to be employed at follow-up. Special procedures have been developed by which SDAs and States can monitor response bias. **If your response rates for those who were and were not employed at termination differ by more than 5 percentage points, the follow-up entries for the JASR must be calculated using the "Worksheet for Adjusting Follow-up Performance Measures" in the Follow-up Technical Assistance Guide.** If the response rates differ by 5 percentage points or less, the following instructions for completing Lines 33-35 may be used.

Line 33 Employment Rate (At Follow-up)

Enter by column the employment rate at follow-up.

Calculate the employment rate by dividing the total number of respondents who were employed (full-time or part-time) during the 13th full calendar week after termination by the total number of respondents (i.e., terminees who completed follow-up interviews). Then multiply the result by 100. **This entry should be reported to the nearest one decimal (00.0).**

Line 34 Average Weekly Earnings of Employed (At Follow-up)

Enter by column the average weekly earnings of those employed (full-time or part-time) at follow-up.

Calculate the (before-tax) average weekly earnings by multiplying the hourly wage by the number of reported hours for each respondent employed at follow-up; and, if appropriate, add tips, overtime, bonuses, etc. Divide the sum of weekly earnings for all respondents employed **during the 13th full calendar week after termination** by the number of respondents employed at the time of follow-up. **Respondents not employed at follow-up are not included in this average. This entry should be reported to the nearest whole dollar.**

Weekly earnings include any wages, bonuses, tips, gratuities, commissions and overtime pay earned.

Line 35 Average Number of Weeks Worked in Follow-up Period

Enter by column the average number of weeks worked.

To calculate the average number of weeks worked (full-time or part-time), divide the sum of the number of weeks worked during the 13 full calendar weeks after termination for all respondents who worked, by the total number of all respondents, **whether or not** they worked any time during this 13-week follow-up period. **This entry should be reported to the nearest one decimal (00.0).**

Line 36 Sample Size

Enter by column the size of the actual sample selected to be contacted for follow-up. (For Title III **only,** a statewide sample of dislocated workers must be selected. For Title II-A, i.e., total adults and adult welfare recipients, SDA samples must be selected.)

NOTE: If oversampling was used, the sample size should include all those selected, not just the required minimum sample size. Those deceased or severely incapacitated to the point of being unable to respond at follow-up may be excluded from the sample size.

Line 37 Response Rate

Enter by column the overall response rate, i.e., the percentage of complete surveys obtained.

To calculate the overall response rate, divide the number of terminees with complete follow-up information by the total number of terminees included in the follow-up sample (Line 36) and multiply by 100. **This entry should be reported to the nearest whole percent.**

NOTE: Complete follow-up information consists of substantive answers to the required follow-up questions and may not include "don't know", "no answer" or "don't remember".

SECTION IV - YOUTH EMPLOYMENT COMPETENCY ATTAINMENT INFORMATION

Section IV displays information relevant to youth employment competency attainment as **defined by the PIC. Regardless of termination type,** the following data represent the total cumulative number of individuals that attained a youth employment competency in any of the three skill areas and the numbers of individuals who attained a competency in (1) pre-employment/work maturity, (2) basic education and/or (3) job specific skills.

NOTE: Terminees who have attained a competency in **basic education skills and/or job specific skills** through training funded under **8% programs and/or cooperative agreements may** be counted in Section IV provided such training was for completion of a training objective initially determined while in a youth employment competency system operated under 78% funds.

Appendix B defines the minimal structural and procedural elements of a sufficiently developed youth employment competency system as well as the minimal requirements for ensuring consistency in the reporting of competency attainment in the pre-employment/work maturity skill area.

Line 38 Attained Any Competency Area

Enter in Column C the total unduplicated number of youth terminees who were enrolled in a youth employment competency component and who attained a competency in at least one skill area.

NOTE: Lines 39-41 are **not** sub-breakouts of Line 38 because one individual may attain several competencies and may be recorded on more than one of Lines 39-41. That individual may be recorded only once on Line 38, thus, the sum of the entries for Lines 39-41 must be equal to or greater than the entry for Line 38.

Line 39 Pre-Employment/Work Maturity Skills

Enter in Column C the number of youth terminees who attained a competency in the pre-employment/work maturity skill area.

Line 40 Basic Education Skills

Enter in Column C the number of youth terminees who attained a competency in the basic education skill area.

Line 41 Job Specific Skills

Enter in Column C the number of youth terminees who attained a competency in the job specific skill area.

NOTE: An entry of "0" on any of Lines 39-41 may indicate that the PIC has determined that a specific skill area is not necessary to become employment competent in their local labor market.

Appendix A

Follow-up Guidelines

To ensure consistent data collection and as accurate information as possible, procedures used to obtain follow-up information must satisfy the following criteria:

- Participant contact should be conducted by telephone or in person. Mail questionnaires may be used in those cases where an individual does not have a telephone or cannot be reached.
- Participant contact must occur as soon as possible after the 13th full calendar week after termination but no later than the 17th calendar week after termination.
- Data reported are to reflect the individual's labor force status and earnings during the 13th full calendar week after termination and the number of weeks s/he was employed throughout the 13-week period after termination.
- Interview questions developed by DOL (see following Exhibit) must be used to determine the follow-up information reported on the JASR. Respondents must be told that responding is voluntary and that information provided by them will be kept confidential. Other questions may be included in the interview. Attitudinal questions may precede DOL questions, but questions related to employment and earnings must follow.

EXHIBIT

Minimum Postprogram Data Collection Questions

A. I want to ask you about the week starting on Sunday, ______, and ending on Saturday, ________, which was (last week/two/three/four weeks ago).

1. Did you do any work for pay during that week?

______ Yes [Go to 2]

______ No [Go to C]

2. How many hours did you work in that week?

______ Hours

3. How much did you get paid per hour in that week?

______ Dollars per hour

4. How much extra, if any, did you earn in that week from tips, overtime, bonuses, commissions, or any work you did on the side, before deductions?

______ Dollars

B. Now I want to ask you about the entire 13 weeks from Sunday, ________, to Saturday, ________.

5. Including the week we just talked about, how many weeks did you work at all for pay during the 13-week period?

______ Weeks [Go to end]

ALTERNATIVE QUESTIONS

C. If answered "NO" to Question 1:

Now I want to ask you about the entire 13 weeks from Sunday, ________, to Saturday, ________.

6. Did you do any work for pay during that 13-week period?

______ Yes [Go to 7]

______ No [Go to end]

7. How many weeks did you do any work at all for pay during that 13-week period?

- Attempts must be made to contact all individuals unless terminee populations are large enough to use sampling.
- At least six attempts may need to be made to contact enough individuals in the follow-up group to obtain the required response rate.
- For each SDA (Title II-A) or combined Statewide (Title III Formula and National Reserve) report (JASR), minimum response rates of 70% are required for each of the following six groups: among adults, those who entered employment at termination and those who did not enter employment at termination; among welfare recipients, those who entered employment at termination and those who did not enter employment at termination; and among dislocated workers, those who entered employment at termination and those who did not enter employment at termination. The response rate is calculated as the number of terminees with complete follow-up information divided by the total number of terminees included in the group eligible for follow-up.

Sampling Procedures

Where sampling is used to obtain participant contact information, it is necessary to have a system which ensures consistent random selection of sample participants from all terminees in the group requiring follow-up.

- No participant in the follow-up group may be arbitrarily excluded from the sample.
- Procedures used to select the sample must conform to generally accepted statistical practice, e.g., a table of random numbers or other random selection techniques must be used.
- The sample selected for contact must meet minimum sample size requirements indicated in Table 1.

The use of sampling will depend on whether the terminee populations are large enough to provide estimates which meet minimum statistical standards. If the number of terminees for whom follow-up is required is less than 138, sampling cannot be used. In such cases attempts must be made to contact all the appropriate terminees.

Minimum Sample Sizes for Follow-up

To determine the minimum number of terminees to be included in the follow-up sample, refer to Table 1 in the following instructions. Find the row in the left-hand column that contains the planned number of terminees for each of the groups requiring follow-up: adults, welfare recipients and dislocated workers. The required minimum sample size is given in the middle column of that row. The last column gives sampling percentages that will assure that the minimum sample size is obtained.

NOTE: The welfare recipients in the adult sample may be used as part of the welfare sample. In this case, an additional number of welfare recipients must be randomly selected to provide a supplemental sample large enough to meet the same accuracy requirements as other groups requiring follow-up. To determine the minimum size of this supplemental welfare sample, find the row in the left-hand column of Table 1 that contains the planned total number of welfare recipients requiring follow-up. From the corresponding entry in the middle column, subtract the number of welfare recipients included in the adult sample. The remainder represents the minimum size of the supplemental sample of welfare recipients required for contact.

Table 1

MINIMUM SAMPLE SIZES FOR FOLLOW-UP

Number of Terminees in Follow-up Population	Minimum Sample Size	Sampling Percentages
1 - 137	All	100
138 - 149	137	94
150 - 159	143	92
160 - 169	149	89
170 - 179	154	87
180 - 189	159	85
190 - 199	164	84
200 - 224	175	82
225 - 249	185	78
250 - 274	194	74
275 - 299	202	71
300 - 349	217	67
350 - 399	229	62
400 - 449	240	57
450 - 499	250	53
500 - 599	265	50
600 - 749	282	44
750 - 999	302	38
1,000 - 1,499	325	30
1,500 - 1,999	338	22
2,000 - 2,999	352	17
3,000 - 4,999	364	12
5,000 or more	383	7.3

Correcting for Differences in Response Rates

Different response rates for those terminees who entered employment at termination and those who did not are expected to bias the performance estimates because those who entered employment at termination are more likely to be employed at follow-up. It is assumed that those who were employed at termination are easier to locate than those who were unemployed because the interviewer has more contact sources (e.g., name of employer). The resulting response bias can artificially inflate performance results at follow-up.

To account for this problem, separate response rates should be calculated for those who were employed at termination and for those who were not. These separate response rates should be calculated for three groups: all adult II-A terminees, welfare recipients and Title III terminees.

For each group, if the response rates of those employed at termination and those not employed differ by more than 5 percentage points, then the "Worksheet for Adjusting Follow-up Performance Measures" in the Follow-up Technical Assistance Guide must be used to correct the follow-up measures for that group.

Appendix B

PIC-RECOGNIZED YOUTH EMPLOYMENT COMPETENCIES

A. General Description of Youth Employment Competency Skill Areas

- Pre-employment skills include world of work awareness, labor market knowledge, occupational information, values clarification and personal understanding, career planning and decision making, and job search techniques (resumes, interviews, applications, and follow-up letters). They also encompass survival/daily living skills such as using the phone, telling time, shopping, renting an apartment, opening a bank account, and using public transportation; **and**
  Work maturity skills include positive work habits, attitudes, and behavior such as punctuality, regular attendance, presenting a neat appearance, getting along and working well with others, exhibiting good conduct, following instructions and completing tasks, accepting constructive criticism from supervisors and co-workers, showing initiative and reliability, and assuming the responsibilities involved in maintaining a job. This category also entails developing motivation and adaptability, obtaining effective coping and problem-solving skills, and acquiring an improved self image.

- Basic education skills include reading comprehension, math computation, writing, speaking, listening, problem solving, reasoning, and the capacity to use these skills in the workplace.

- Job-specific skills -- Primary job-specific skills encompass the proficiency to perform actual tasks and technical functions required by certain occupational fields at entry, intermediate or advanced levels. Secondary job-specific skills entail familiarity with and use of set-up procedures, safety measures, work-related terminology, recordkeeping and paperwork formats, tools, equipment and materials, and breakdown and clean-up routines.

B. Sufficiently Developed Systems for Youth Employment Competencies

A sufficiently developed youth employment competency system must include the following **structural and procedural elements:**

1. Quantifiable Learning Objectives

- **PIC-recognized competency statements that are quantifiable, employment-related, measurable, verifiable learning objectives that specify the proficiency to be achieved as a result of program participation.**

Employment competencies/quantifiable learning objectives approved by the PIC as relevant to the SDA must include a description of the skills/knowledge/attitudes/behavior to be taught, the levels of achievement to be attained, and the means of measurement to be used to demonstrate competency accomplishment. The level of achievement selected should enhance the youth's employability and opportunities for postprogram employment.

2. Related Curricula, Training Modules, and Approaches

- **Focused curricula, training modules, or behavior modification approaches which teach the employment competencies in which youth are found to be deficient.**

Such related activities, components, or courses must encompass participant orientation, work-site supervisor/instructor/community volunteer training, and staff development endeavors as appropriate. They also must include, as appropriate, relevant agreements, manuals, implementation packages, instructions, and guidelines. A minimum duration of training must be specified which allows sufficient time for a youth to achieve those skills necessary to attain his/her learning objectives.

3. Pre-Assessment

- **Assessment of participant employment competency needs at the start of the program to determine if youth require assistance and are capable of benefitting from available services.**

A minimum level of need must be established before a participant is eligible to be tracked as a potential "attained PIC-recognized youth employment competency" outcome. All assessment techniques must be objective, unbiased and conform to widely accepted measurement criteria. Measurement methods used must contain clearly defined criteria, be field tested for utility, consistency, and accuracy, and provide for the training/preparation of all raters/scorers.

4. Post-Assessment (Evaluation)

- **Evaluation of participant achievement at the end of the program to determine if competency-based learning gains took place during project enrollment.**

Intermediate checking to track progress is encouraged. All evaluation techniques must be objective, unbiased and conform to widely accepted evaluation criteria. Measurement methods used must contain clearly defined criteria, be field tested for utility, consistency, and accuracy, and provide for the training/preparation of all raters/scorers.

5. Employability Development Planning

- **Use of assessment results in assigning a youth to appropriate learning activities/sites in the proper sequence to promote participant growth and development, remedy identified deficiencies, and build upon strengths.**

6. Documentation

- **Maintenance of participant records and necessary reporting of competency-based outcomes to document intra-program learning gains achieved by youth.**

7. Certification

- **Proof of youth employment competency attainment in the form of a certificate for participants who achieve predetermined levels of proficiency to use as evidence of this accomplishment and to assist them in entering the labor market.**

C. Guidelines for Ensuring Consistency in the Reporting of Pre-Employment/Work Maturity Skill Competencies

Individuals should demonstrate proficiency in each of the following 11 core competencies. In order for an attainment to be reported in the area of pre-employment/work maturity, at least one PIC-certified competency statement must be developed/ quantified in each of the following 11 core competencies -- **provided that at least 5 of these learning objectives were achieved during program intervention:**

1. Making Career Decisions
2. Using Labor Market Information
3. Preparing Resumes
4. Filling Out Applications
5. Interviewing
6. Being Consistently Punctual
7. Maintaining Regular Attendance
8. Demonstrating Positive Attitudes/Behavior
9. Presenting Appropriate Appearance
10. Exhibiting Good Interpersonal Relations
11. Completing Tasks Effectively

Appendix C

Definitions of Terms Necessary for Completion of Reports

EMPLOYMENT/TRAINING SERVICES

ASSESSMENT -- services are designed to **initially** determine each participant's employability, aptitudes, abilities and interests, through interviews, testing and counseling to achieve the applicant's employment related goals.

FOLLOW-UP -- is the collection of information on a terminee's employment situation at a specified period after termination from the program.

INTAKE -- includes the screening of an applicant for eligibility and: (1) a determination of whether the program can benefit the individual; (2) an identification of the employment and training activities and services which would be appropriate for that individual; (3) a determination of the availability of an appropriate employment and training activity; (4) a decision on selection for participation and (5) the dissemination of information on the program.

OUTREACH -- activity involves the collection, publication and dissemination of information on program services directed toward economically disadvantaged and other individuals eligible to receive JTPA training and support services.

YOUTH EMPLOYABILITY ENHANCEMENT TERMINATION

An outcome for youth, other than entered unsubsidized employment, which is recognized as enhancing long-term employability and contributing to the potential for long-term increase in earnings and employment. The five youth employability enhancement outcomes are:

(1) Demonstrated proficiency in youth employment competencies as defined by the PIC in two or more of the following three skill areas in which the terminee was deficient at enrollment: pre-employment/work maturity, basic education, or job-specific skills. **During PY '88, competency attainment in one skill area will meet the definition.**

(2) Entered an occupational-skills employment/training program, not funded under Title II of the JTPA, which builds upon and does not duplicate training received under Title II.

(3) Returned to full-time school if, at time of intake, the participant was not attending school and had not obtained a high school diploma or equivalent.

(4) Completed, during enrollment, a level of educational achievement which had not been reached at entry. Levels of educational attainment are elementary, secondary, and post-secondary. Completion standards shall be governed by State standards or, at the Governor's discretion, local standards at the elementary level; shall include a high school diploma, GED Certificate or equivalent at the secondary level, and shall require a diploma or other written certification of completion at the post-secondary level. NOTE: To obtain credit, completion of a major level of education must result primarily from participation in a JTPA activity.

(5) Completed program objectives as defined in approved exemplary youth project plans if, at time of entry, the participant was 14 or 15 years of age.

EDUCATION STATUS

SCHOOL DROPOUT -- An adult or youth (aged 14-21) who is not attending school full-time and has not received a high school diploma or a GED certificate.

STUDENT -- An adult or youth (aged 14-21) who has not received a high school diploma or GED certificate and is **enrolled full-time in an elementary, secondary or postsecondary-level vocational, technical, or academic school** or is between school terms and intends to return to school.

HIGH SCHOOL GRADUATE OR EQUIVALENT (No Post-High School) -- An adult or youth (aged 14-21) who has received a high school diploma or GED Certificate, but who has not attended any postsecondary vocational, technical, or academic school.

POST HIGH SCHOOL ATTENDEE -- An adult or youth (aged 14-21) who has received a high school diploma or GED certificate and **has attended (or is attending)** any postsecondary-level vocational, technical, or academic school.

FAMILY STATUS

SINGLE HEAD OF HOUSEHOLD -- A single, abandoned, separated, divorced or widowed individual who has responsibility for one or more dependent children under age 18.

RACE/ETHNIC GROUP

WHITE (NOT HISPANIC) -- A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

BLACK (NOT HISPANIC) -- A person having origins in any of the black racial groups of Africa.

HISPANIC -- A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin (including Spain), regardless of race. NOTE: Among persons from Central and South American countries, only those who are of Spanish origin, descent, or culture should be included in the Hispanic category. Persons from Brazil, Guiana, and Trinidad, for example, would be classified according to their race, and would not necessarily be included in the Hispanic category. Also, the Portugese should be excluded from the Hispanic category and should be classified according to their race.

AMERICAN INDIAN OR ALASKAN NATIVE -- A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

ASIAN OR PACIFIC ISLANDER -- A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan), or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa. Hawaiian natives are to be recorded as Asian or Pacific Islanders.

OTHER BARRIERS TO EMPLOYMENT

LIMITED ENGLISH LANGUAGE PROFICIENCY -- Inability of an applicant, whose native language is not English, to communicate in English, resulting in a job handicap.

HANDICAPPED INDIVIDUAL -- Refer to Sec. 4(10) of the Act. Any individual who has a physical or mental disability which for such individual constitutes or results in a substantial handicap to employment. NOTE: This definition will be used for performance standards purposes, but is not required to be used for program eligibility determination (Sec. 4(8)(E)).

OFFENDER -- For reporting purposes, the term "offender" is defined as any adult or youth who requires assistance in overcoming barriers to employment resulting from a record of arrest or conviction (excluding misdemeanors).

READING SKILLS BELOW 7th GRADE LEVEL -- An adult or youth assessed as having English (except in Puerto Rico) reading skills below the 7th grade level on a generally accepted standardized test.

NOTE: The following other methods of determination may be used:

° A school record of reading level determined within the last 12 months.

- If an applicant is unable to read and therefore cannot complete a self-application for the JTPA/EDWAA program, s/he may be considered to have English reading skills below the 7th-grade level.

- Individuals with any of the following may be considered to have English reading skills above the 7th-grade level:

  - A GED certificate received within the last year.

  - A degree (usually a BA or BS) conferred by a 4-year college, university or professional school.

If there is any question regarding reading ability, a standardized test should be administered.

LONG-TERM AFDC RECIPIENT -- An adult or youth listed on the welfare grant who had received cash payments under AFDC (SSA Title IV) for any 24 or more of the 30 months prior to JTPA eligibility determination and who was a welfare recipient (as defined below) at the time of such determination.

U.C. STATUS

UNEMPLOYMENT COMPENSATION CLAIMANT -- Any individual who has filed a claim and has been determined monetarily eligible for benefit payments under one or more State or Federal unemployment compensation programs, and who has not exhausted benefit rights or whose benefit year has not ended.

LABOR FORCE STATUS

EMPLOYED -- (a) An individual who, during the 7 consecutive days prior to application to a JTPA program, did any work at all: (i) as a paid employee; (ii) in his or her own business, profession or farm, or (iii) worked 15 hours or more as an unpaid worker in an enterprise operated by a member of the family; or (b) an individual who was not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time off, and whether or not seeking another job. (This term includes members of the Armed Forces on active duty, who have not been discharged or separated; participants in registered apprenticeship programs; and self-employed individuals.)

EMPLOYED PART-TIME -- An individual who is regularly scheduled for work less than 30 hours per week.

UNEMPLOYED -- An individual who did not work during the 7 consecutive days prior to application for a JTPA program, who made specific efforts to find a job within the past 4 weeks prior to application, and who was available for work during the 7 consecutive days prior to application (except for temporary illness).

UNEMPLOYED: 15 OR MORE WEEKS OF PRIOR 26 WEEKS -- An individual who is unemployed (refer to definition above) at the time of eligibility determination and has been unemployed for any 15 or more of the 26 weeks immediately prior to such determination, has made specific efforts to find a job throughout the period of unemployment, and is not classified as "Not in Labor Force".

NOT IN LABOR FORCE -- A civilian 14 years of age or over who did not work during the 7 consecutive days prior to application for a JTPA program and is not classified as employed or unemployed.

WELFARE GRANT INFORMATION

WELFARE RECIPIENT -- An individual listed on the welfare grant who was receiving cash payments under AFDC (SSA Title IV), General Assistance (State or local government), or the Refugee Assistance Act of 1980 (PL 96-212) at the time of JTPA eligibility determination. For reporting and performance standards purposes, exclude those individuals who receive only SSI (SSA Title XVI).

PROGRAM COSTS

ACCRUED EXPENDITURES -- The allowable charges incurred during the program year to date requiring provision of funds for: (1) goods and other tangible property received; and (2) costs of services performed by employees, contractors, subrecipients, and other payees.

NOTE: These charges do not include "resources on order", i.e., amounts for contracts, purchase orders and other obligations for which goods and/or services have not been received.

Appendix B

Worker Adjustment Program Annual Program Report and Instructions (1989 WAPR)

WORKER ADJUSTMENT PROGRAM ANNUAL PROGRAM REPOFT (ETA 9019)

1. Purpose. The Economic Dislocation and Worker Adjustment Assistance Act (EDWAA) Annual Program Report (WAPR) displays cumulative data on participation, termination, performance measures and the socio-economic characteristics of all terminees on an annual basis. The information will be used to determine levels of program service and performance measures. Selected information will be aggregated to provide quantitative program accomplishments on a local, State, and national basis.

2. General Instructions. The Governor will submit: (1) a separate WAPR for each designated Substate Area (SSA); (2) a separate Statewide WAPR summary of the SSA report data (this Statewide WAPR summary of individual SSA data should not be submitted by single-SSA States); (3) a separate WAPR covering participants and terminees in statewide, regional or industrywide projects funded under Section 302(c)(1)(B) of the Act; and (4) a separate WAPR covering participants and terminees in projects funded under Secretary's National Reserve Grants (Section 302(a)(2)). Recipients may determine whether the reports are submitted on WAPR forms or as a computer printout, with data, including signature and title, date signed and telephone number, arrayed as indicated on the WAPR form. If revisions are made to the WAPR data after the reporting deadline, revised copies of the WAPR should be submitted to DOL as soon as possible according to the required reporting procedures. Submittal of one or more WAPRs with revised information for Total Participants, Total Terminations and/or Total Program Costs (Federal Funds) usually will require submittal of a revised WQFR which includes the final quarter of the same program year.

> NOTE: For WAPR reporting purposes, EDWAA shall refer to: (1) programs operated by Substate grantees with funds authorized under Sections 302(c)(2) and 302(d) or otherwise distributed by the Governor under Section 302(c)(1)(E) and (2) projects operated by the Governor with funds authorized under Sections 302(c)(1) and 302(a)(2) of the Act.

The reporting period begins on the starting date of each Job Training Partnership Act (JTPA) program year, as stated in Section 161 of the JTPA. Reports are due in the National and Regional Offices no later than 45 days after the end of each program year. Two copies of the WAPR are to be provided to:

U.S. Department of Labor, ETA
ATTN: TSVR -- Room S-5306
200 Constitution Avenue, N.W.
Washington, D. C. 20210

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At the same time an additional copy of the WAPR is to be provided to the appropriate Regional Administrator for Employment and Training in the DOL Regional Office that includes the State in which the JTPA recipient is located.

NOTE: The current JASR, ETA 8580 (June 1988), is to continue to be used for programs operating solely with PY88 and earlier year's Title III funds. The WAPR is to be used beginning July 1, 1989, for PY89 programs funded under EDWAA (including carryin funds used for EDWAA purposes, if any).

3. Facsimile of Form. See the following page.

4. Instructions for Completing the Worker Adjustment Program Annual Program Report (WAPR).

   a. State/Substate Area Name and Address

   On separate Section 302(c)(1) and Section 302(a)(2) reports, enter the name and address of the State agency that will administer the Statewide programs. For SSA reports, enter the name and address of the Substate grantee that will administer the SSA programs.

   b. Report Type

   Designate the type of report data provided on this WAPR. If this is an SSA report, also enter the ETA-assigned Substate Area Code number.

   c. Report Period

   Enter in "From" the beginning date of the designated JTPA program year and enter in "To" the ending date of that program year.

   d. Signature and Title (at bottom of the page)

   The authorized official signs here and enters his/her title.

   e. Date Signed

   Enter the date the report was signed by the authorized official.

   f. Telephone Number

   Enter the area code and telephone number of the authorized official.

Worker Adjustment Program
Annual Program Report (WAPR)

U.S. Department of Labor
Employment and Training Administration

a. State/Substate Area Name and Address

b. Report Type
( ) SSA # ____________
( ) Gov Statewide
( ) Secy N/Resv

OMB No. 1205-0274
Expires 12/31/92

c. Report Period
From: 7/1/19 __ To: 6/30/19 __

I. PARTICIPATION AND TERMINATION SUMMARY	A. Concurrent Participants	B. All Participants
A. Issued Certificate of Continuing Eligibility (CCE)		
B. TOTAL PARTICIPANTS		
1. All CCEs Redeemed for Retraining		
C. TOTAL TERMINATIONS		
1. Entered Unsubsidized Employment From Retraining		
a. Relocated Out of Area		
2. Entered Unsubsidized Employment From Basic Readjustment Services ONLY		
3. Called Back/Remained with the Layoff Employer		
4. Transferred to Other JTPA Programs		
5. Entered Non-JTPA Training		
6. All Other Terminations		

Line No.	II. TERMINEE CHARACTERISTICS AND PERFORMANCE MEASURES SUMMARY		All Terminees
1	Sex	Male	
2		Female	
3	Age	29 and Under	
4		30 - 44	
5		45 - 54	
6		55 and over	
7	Education Status	Less Than High School	
8		H.S. Graduate or Equivalent (No Post-High School)	
9		Post-High School Attendee	
10		College Graduate and Above	
11	Family Stat.	Single Head of Household With Dependent(s) Under Age 18	
12	Race/Ethnic Group	White (Not Hispanic)	
13		Black (Not Hispanic)	
14		Hispanic	
15		American Indian or Alaskan Native	
16		Asian or Pacific Islander	
17	Other Barriers to Employment	Limited English Language Proficiency	
18		Handicapped	
19		Reading Skills Below 7th-Grade Level	

d. Signature and Title

e. Date Signed

f. Telephone No.

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a. State/Substate Area Name and Address

	Report Period	
	From	To
	7/1/19 ___	6/30/19 ___

Line No.		II. TERMINEE CHARACTERISTICS AND PERFORMANCE MEASURES SUMMARY - CONTINUED		All Terminees
20	Ben-efits Stat.	U.C. Claimant		
21	Lab. Forc Stat.	Unemployed 15 or More Weeks of Prior 26 Weeks		
22	Veterans Status	Veteran (Total)		
23		Vietnam-Era		
24		Average Weeks Participated		
25		Average Hourly Wage – Pre-Program		
26		Average Hourly Wage at Termination		
27		Total Program Costs (Federal Funds)		
28		Needs-Related Payments		
29		Total Available Federal Funds		
		III. FOLLOW-UP INFORMATION		
30		Employment Rate at Follow-up		
31		Average Hourly Wage at Follow-up		
32		Average Number of Weeks Worked in Follow-up Period		
33		Sample Size		
34		Response Rate		
		IV. RETRAINING/BASIC READJUSTMENT SERVICES		
35		Received Basic Readjustment Services ONLY		
36		Received ANY Retraining Activity		
37		Less than 26 Weeks		▨
38		26 or More Weeks		▨
39		Completed Classroom Training: Basic Education or Attained GED		
40		Completed On-the-Job Training		
41		Completed Other Occupational Skills Training		

Remarks:

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5. General Information. Unless otherwise indicated, data reported on characteristics of terminees should be based on information collected at the time of eligibility determination.

CHARACTERISTICS INFORMATION OBTAINED ON AN INDIVIDUAL AT THE TIME OF ELIGIBILITY DETERMINATION FOR THE RECIPIENT'S EDWAA PROGRAM SHOULD NOT BE UPDATED WHEN THE INDIVIDUAL TERMINATES FROM THE EDWAA PROGRAM.

NOTE: Recipients shall ensure that individuals are enrolled within 45 days of the date of application or a new application must be taken (20 CFR 629.1). This 45-day period for Certificate of Continuing Elibibility (CCE) holders should begin upon completion of a full participant record, usually at the time of CCE redemption, as this may be at a location other than where the CCE was issued and such information taken earlier to determine eligibility may not be readily available at the redemption site.

SECTION I - PARTICIPATION AND TERMINATION SUMMARY

Section I displays the EDWAA program's accomplishments in terms of the total cumulative number of participants in the program, the number and types of terminations from the program, and the number of CCEs issued/redeemed, as of the end of the reporting period.

In Section I, Column A., Item I.B., enter individuals who are concurrent participants and are receiving Basic Readjustment Services and/or Retraining under another EDWAA-funded grantee/program, JTPA title or have entered non-JTPA/EDWAA training for the completion of the initially determined training objective, prior to termination from their initial EDWAA program. Column A. is a sub-breakout of Column B. for this line item.

In Section I, Column A., Item I.C., enter terminees who have been concurrent participants and have received Basic Readjustment Services and/or Retraining under another EDWAA-funded grantee/program, JTPA title or have received non-JTPA/EDWAA training for the completion of the initially determined training objective, prior to termination from their initial EDWAA program. Also, distribute these terminees between Items I.C.1. and I.C.2., as appropriate, on the basis of the final type of termination from the EDWAA program of final participation. Column A. is a sub-breakout of Column B. for these line items. NOTE: An individual included in a line item entry in Column A. also must be included in the entry for the same line item in Column B.

Entries for Items I.A, I.B. and I.C. are cumulative from the beginning of the program year through the end of the reporting period.

Item I.A. Issued Certificate of Continuing Eligibility (CCE)

Enter the total number of applicants to whom a Certificate of Continuing Eligibility was issued during this program year, as provided in Section 316(b) of the Act, by the Substate grantee through the end of the reporting period. NOTE: Enter zero for this item on the Governor's Statewide report (Section 302(c)(1)).

Item I.B. Total Participants

Enter by column the total number of participants who are or were receiving employment, training or services (except post-termination services) through the end of the reporting period, including both those on board at the beginning of the designated program year and those who have entered during the program year.

"Participant" means any individual who has: (1) been determined eligible for participation upon intake; and (2) started receiving employment, training, or services (except post-termination services) funded under the Act, following intake. Individuals who receive only outreach and/or intake and initial assessment services or postprogram follow-up are excluded.

NOTE: Also exclude individuals who receive only Rapid Response Assistance and information, per Section 314(b), provided by the State's Dislocated Worker Unit.

If individuals receive concurrent employment, training and/or services under more than one title/program, they are to be considered participants in both titles/programs for purposes of recording actual number of weeks participated, dollars expended, and other pertinent data. Individuals who initially participate in EDWAA funded activity and subsequently participate in any other EDWAA (or non-EDWAA) funded activity, FOR THE COMPLETION OF THE INITIALLY DETERMINED TRAINING OBJECTIVE, may be considered to be concurrent participants in each program.

The sum of the entries (all SSAs in a State) in Item I.B., Total Participants, and in Item I.C., Total Terminations, of the WAPR should equal the entries for Substate Grantees in Column B., Lines 16 and 17, respectively, of the WQFR for the final quarter of the same program year for the same recipient.

The entries in Item I.B. and in Item I.C. of the Governor's Statewide WAPR should equal the entries for Governor's Reserve in Column A., Lines 16 and 17, respectively, of the WQFR for the final quarter of the same program year for the same recipient.

The entries in Item I.B. and in Item I.C. of the Secretary's National Reserve WAPR should equal the entries for the Secretary's National Reserve in Column C., Lines 16 and 17, respectively of the WQFR, for the final quarter of the same program year for the same recipient.

Item I.B.1. All CCES Redeemed for Retraining

Enter the total number of unexpired participant CCEs, regardless of year issued, redeemed for Retraining during this program year by the Substate grantee, through the end of the reporting period. Include all CCEs so redeemed that were issued by any Substate grantee for periods not to exceed 104 weeks prior to redemption. This item is a sub-breakout of Item I.B.

Item I.C. Total Terminations

Enter by column the total number of participants who terminated (as defined below) from the program during the reporting period. Include all participants who received no Basic Readjustment Services (except supportive services and/or counseling) or Retraining for 90 days. **This item is the sum of Items I.C.1. through I.C.6.**

"Termination" means the separation of a participant from the program who is no longer receiving Basic Readjustment Services or Retraining under EDWAA. Individuals may be considered participants for up to 90 days after last receipt of Basic Readjustment Services or Retraining, during which time they may continue to receive supportive services, as provided for in Section 314 (c)(15) and Section 4(24) of the Act.

For purposes of calculating average weeks participated, this single period of up to 90 days between "last receipt of Basic Readjustment Services or Retraining under EDWAA" and actual date of termination is defined as "inactive status" and is not to be included in "Average Weeks Participated". Terminees may continue to receive counseling necessary to assist in the retention of employment, for not more than 6 months following last receipt of Basic Readjustment Services (Section 314 (c)) or Retraining (Section 314 (d)).

Participants who have transferred from one title to another, or between programs of the same title, should be recorded as terminations from the title or program of initial participation and included as participants in the title or program into which they have transferred. If they are concurrent participants in more than one title or program, the type of termination determined for the final program should be recorded for all programs for these participants.

For purposes of calculating average weeks participated for such concurrent EDWAA program participants, the period between "last receipt of Basic Readjustment Services and Retraining funded under a given EDWAA program" (i.e., SSA, Governor's Reserve or Secretary's National Reserve) and actual date of termination from that EDWAA program is defined as "inactive status" and is not to be included in Line 24.

Item I.C.1. Entered Unsubsidized Employment from Retraining

Enter by column the total number of participants who, at termination, entered full- or part-time unsubsidized employment from Retraining through the end of the reporting period. (These participants may or may not have received Basic Readjustment Services.) This item is a sub-breakout of Item I.C.

NOTE: Unsubsidized employment means employment not financed from funds provided under the Act and includes, for JTPA/EDWAA reporting purposes, entry into the Armed Forces of the U. S., entry into employment in a registered apprenticeship program and terminees who become self-employed.

Item I.C.1.a. Relocated Out of Area

Enter the total number of participants who, at termination from other Retraining, entered unsubsidized employment after receiving relocation assistance and relocating outside the Substate Area which provided such relocation assistance, or within or outside of the State, if this assistance was provided by a Statewide SSA or by a program administered by the Governor. This item is a sub-breakout of Item I.C.1.

Item I.C.2. Entered Unsubsidized Employment From Basic Readjustment Services ONLY

Enter by column the total number of participants who, at termination, entered full- or part-time unsubsidized employment from Basic Readjustment Services ONLY through the end of the reporting period. This item is a sub-breakout of Item I.C.

Item I.C.3. Called Back/Remained With the Layoff Employer

Enter the number of terminees from the EDWAA program who, after being laid off by an employer, were recalled by that employer to a permanent job at the same or another location. Also include EDWAA program terminees who remained in a permanent job with an employer after receipt of a layoff notice from that employer. This item is a sub-breakout of Item I.C. NOTE: Do not include such terminees in the entry for Items I.C.1. or I.C.2., above.

Item I.C.4. Transferred to Other JTPA Programs

Enter the number of terminees who transferred to and entered programs funded under another JTPA title including Title III-Formula and Title III-National Reserve. Also include on this line terminees who transferred to and entered EDWAA programs operated by another Substate grantee, or who transferred to and entered EDWAA programs operated by the Governor (and conversely). This item is a sub-breakout of Item I.C.

Item I.C.5. Entered Non-JTPA Training

Enter the number of terminees who entered, during the program year, training not funded with JTPA monies. This item is a sub-breakout of Item I.C.

Item I.C.6. All Other Terminations

Enter by column the total number of participants who were terminated for reasons other than those in Items I.C.1. through I.C.5., successful or otherwise, through the end of the reporting period.

SECTION II - TERMINEE PERFORMANCE MEASURES INFORMATION

Section II displays performance measures/parameters information. As indicated previously, data reported on characteristics of terminees should be based on information collected at time of eligibility determination unless otherwise indicated.

Governors may develop any participant record which meets the requirements of Section 629.35(c) and (d) of the JTPA regulations. The DOL/ETA Technical Assistance Guide: The JTPA Participant Record, dated May 1983, may be used as a reference.

Line Item Definitions and Instructions

Sex

Line 1 Male
Line 2 Female

Distribute the terminees according to Sex. The sum of Lines 1 and 2 should equal Item I.C.

Age

Line 3 29 and Under
Line 4 30-44
Line 5 45-54
Line 6 55 and Over

Distribute the terminees according to Age. The sum of Lines 3 through 6 should equal Item I.C.

Education Status

Line 7 Less Than High School
Line 8 High School Graduate or Equivalent (No Post-High School)
Line 9 Post-High School Attendee
Line 10 College Graduate and Above

Distribute the terminees according to Education Status. The sum of Lines 7 through 9 should equal Item I.C. NOTE: Line 10 is a sub-breakout for a specific group included in Line 9.

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Family Status

Line 11	Single Head of Household with Dependent(s) Under Age 18.

Enter the total number of terminees for whom the above Family Status classification applies.

Race/Ethnic Group

Line 12	White (Not Hispanic)
Line 13	Black (Not Hispanic)
Line 14	Hispanic
Line 15	American Indian or Alaskan Native
Line 16	Asian or Pacific Islander

Distribute the terminees according to the Race/Ethnic Groups listed above. For purposes of this report, Hawaiian Natives are to be recorded as "Asian or Pacific Islander". The sum of Lines 12 through 16 should equal Item I.C.

Other Barriers to Employment

Line 17	Limited English Language Proficiency
Line 18	Handicapped
Line 19	Reading Skills Below 7th Grade Level

Enter the total number of terminees for whom each of the above Other Barriers to Employment apply.

Benefits Status

Line 20	U. C. (Unemployment Compensation) Claimant

Enter the total number of terminees for whom each of the above benefits status classifications apply.

Labor Force Status

Line 21	Unemployed: 15 or More Weeks of Prior 26 Weeks

Enter the total number of terminees for whom the above Labor Force Status classification applies.

Veteran Status

Line 22	Veteran (Total)
Line 23	Vietnam Era

Enter the total number of terminees for whom each of the above Veteran classifications apply, as defined in Section 4 (26)(A)(B) and (D) of the Act. Line 23 is a sub-breakout for a specific group included in Line 22.

Other Program Information

Line 24 Average Weeks Participated

Enter the average number of weeks of participation in the EDWAA program for all terminees. Weeks of participation include the period from the date an individual becomes a participant in EDWAA through the date of a participant's last receipt of Basic Readjustment and/or Retraining. **Exclude the single period of up to 90 days during which an individual may remain in an inactive status prior to termination. Time in inactive status for all terminees should not be counted toward the actual number of weeks participated.** Inactive status is defined as that period between "last receipt of Basic Readjustment Services and/or Retraining under EDWAA" and actual date of termination. (See Item I.C.)

To calculate this entry: Count the number of days participated for each terminee, including weekends, from the start date of his/her participation in EDWAA until his/her last receipt of Basic Readjustment Services and/or Retraining under EDWAA. Divide this result by 7. This will give the number of weeks participated for that terminee. Sum all the terminees' weeks of participation and divide the result by the number of terminees, as entered in Item I.C. **This entry should be reported to the nearest whole week.**

Line 25 Average Hourly Wage -- Pre-Program

Enter the average hourly pre-EDWAA wage of all terminees. In calculating this average, use the hourly wage from the job of dislocation. Those terminees who had no pre-EDWAA employment should be counted as "$0.00" hourly wage.

To calculate this entry: Sum the pre-program hourly wage for all terminees shown in Item I.C. Divide the result by the number of terminees shown in Item I.C. NOTE: For the calculation, use the hourly wage regardless of whether the individual was employed full- or part-time.

Line 26 Average Hourly Wage at Termination

Enter the average hourly wage at termination for the total number of terminees in Items I.C.1. through I.C.3.

To calculate this entry: Sum the hourly wage at termination for all the terminees shown in Items I.C.1. through I.C.3. Divide the result by the number of terminees shown in Items I.C.1. through I.C.3.

Hourly wage includes any bonuses, tips, gratuities and commissions earned.

Line 27 Total Program Costs (Federal Funds)

Enter the total accrued expenditures, through the end of the reporting period, of the funds allocated to the SSA under Sections 302(c)(2) and 302(d) of the Act or otherwise distributed by the Governor to the SSAs under Section 302(c)(1)(E). On the separate WAPRs: (1) covering participants and terminees projects funded under Section 302(c)(1); (2) or participants and terminees in Secretary's National Reserve Grants projects funded under Section 302(a)(2) of the Act, enter the total expendidures for all participants and terminees served in such programs through the end of the reporting period. Include, as appropriate, accrued expenditures against JTPA Title III funds provided for PY88 and PY87 which were carried into EDWAA and used for EDWAA purposes, if any. Include expenditures of Federal funds only.

NOTE: **Entries will be made to the nearest dollar. Negative entries are not acceptable.** The WAPR program cost data will be compiled on an accrual basis. If the recipient's accounting records are not normally maintained on an accrual basis, the accrual information should be developed through an analysis of the records on hand or on the basis of best estimates.

The sum of the entries for Line 27, Total Program Costs, of the WAPR (i.e., total for the State's SSAs under EDWAA) should equal the entry for Column B., Line 10, Total Accrued Expenditures (Substate Grantees) of the WQFR for the same recipient that includes the final quarter of the same program year.

Line 27 of the Statewide WAPR for the Governor's Reserve activity (Section 302(c)(1)) should equal Column A., Line 10 of the WQFR for the same recipient that includes the final quarter of the same program year; and Line 27 on the WAPR for the Secretary's National Reserve Grants (Section 302(a)(2)) to the State should equal Column B., Line 5 on that WQFR.

Line 28 Needs-Related Payments

Enter the total accrued expenditures for needs-related payments to eligible dislocated workers who do not qualify or have ceased to qualify for Unemployment Compensation, in order to enable such workers to participate in training or education programs under EDWAA (Section 314(e)). This is a sub-breakout of Line 27.

Line 29 Total Available Federal Funds

Enter the total Federal funds available for the EDWAA program described on this report including (1) unexpended funds carried over from previous program years, (2) funds allocated or awarded for this program year, and (3) any reallocation that **increased or decreased** the amount of funds available for expenditure through the end of this reporting period. Entries will be made to the nearest dollar.

The sum of the entries for Line 29, Total Available Federal Funds, of the WAPR (i.e., total for the State's SSAs under EDWAA) should equal the entry for Column B., Line 9, Total Federal Funds Available (Substate Grantees) of the WQFR for the same recipient that includes the final quarter of the same program year.

Line 29 of the Statewide WAPR for the Governor's Reserve activity (Section 302(c)(1)) should equal Column A., Line 9 of the WQFR for the same recipient that includes the final quarter of the same program year; and Line 29 on the WAPR for the Secretary's National Reserve Grants (Section 302(a)(2)) to the State should equal Column B., Line 1 on that WQFR.

SECTION III - FOLLOW-UP INFORMATION

Section III displays information based on follow-up data which must be collected through participant contact to determine an individual's labor force status and earnings, if any, during the 13th full calendar week after termination and the number of weeks s/he was employed during the 13-week period. Follow-up data should be collected from participants whose 13th full calendar week after termination ends during the program year (the follow-up group). **Thus, follow-up will be conducted for individuals who terminate during the first three quarters of the program year and the last quarter of the previous program year.**

For PY89 follow-up may be conducted for individuals who terminate during the first three quarters of the program year and postprogram data collection need not begin until October 1, 1989.

In order to ensure consistency of data collection and to guarantee the quality of the follow-up information, follow-up procedures must satisfy certain criteria. (See the Follow-up Guidelines included in these WAPR instructions, Appendix A.) Other procedures used to collect the follow-up data are at the discretion of the Governors.

NOTE: Every precaution must be taken to prevent a "response bias" which could arise because it may be easier to contact participants who were employed at termination than those who were not and because those who entered employment at termination are more likely to be employed at follow-up. Special procedures have been developed by which SSAs and States can monitor response bias. **If your response rates for those who were and were not employed at termination differ by more than 5 percentage points, the follow-up entries for the WAPR must be calculated using the "Worksheet for Adjusting Follow-up Performance Measures" in the Follow-up Technical Assistance Guide.** If the response rates differ by 5 percentage points or less, the following instructions for completing Lines 30-34 may be used.

Line 30 Employment Rate at Follow-up

Enter the employment rate at follow-up.

Calculate the employment rate by dividing the total number of respondents who were employed (full-time or part-time) during the 13th full calendar week after termination by the total number of respondents (i.e., terminees who completed follow-up interviews). Then multiply the result by 100. **This entry should be reported to the nearest one decimal (00.0).**

Line 31 Average Hourly Wage at Follow-up

Enter the average hourly wage of those employed (full-time or part-time) at follow-up.

To calculate this entry: Sum the hourly wage (and, if appropriate, add tips, overtime, bonuses, etc.) of each respondent employed at follow-up. Divide the sum of hourly wage for all respondents employed **during the 13th full calendar week after termination** by the number of respondents employed at the time of follow-up. **Respondents not employed at follow-up are not included in this average.**

Include any wages, bonuses, tips, gratuities, commissions and overtime pay earned.

Line 32 Average Number of Weeks Worked in Follow-up Period

Enter the average number of weeks worked in follow-up period.

To calculate the average number of weeks worked (full-time or part-time), divide the sum of the number of weeks worked during the 13 full calendar weeks after termination for all respondents who worked, by the total number of all respondents, **whether or not** they worked any time during this 13-week follow-up period. **This entry should be reported to the nearest one decimal (00.0).**

Line 33 Sample Size

Enter by column the size of the actual sample selected to be contacted for follow-up.

NOTE: If oversampling was used, the sample size should include all those selected, not just the required minimum sample size. Those deceased or severely incapacitated to the point of being unable to respond at follow-up may be excluded from the sample size.

Line 34 Response Rate

Enter the overall response rate, i.e., the percentage of complete surveys obtained.

To calculate the overall response rate, divide the number of terminees with complete follow-up information by the total number of terminees included in the follow-up sample (Line 33) and multiply by 100. **This entry should be reported to the nearest whole percent.**

NOTE: Complete follow-up information consists of substantive answers to the required follow-up questions and may not include "don't know", "no answer" or "don't remember".

SECTION IV - RETRAINING/BASIC READJUSTMENT SERVICES

Section IV displays information relevant to program activities funded under EDWAA.

Line 35 Received Basic Readjustment Services ONLY

Enter the total number of terminees, regardless of type of termination, who received Basic Readjustment Services ONLY, as indicated in Section 314(c) of the Act. The sum of Lines 35 and 36 should equal Item I.C. **NOTE: Individuals who receive only outreach and/or intake and initial assessment services or Rapid Response assistance are not participants/terminees.**

Line 36 Received ANY Retraining Activity
Line 37 Less than 26 Weeks
Line 38 26 or More Weeks

Enter the total number of terminees, regardless of type of termination, who received ANY Retraining activity included in Section 314(d) of the Act. Lines 37 and 38 are sub-breakouts of Line 36 and should be used to distribute terminees who received ANY Retraining activity by actual length of stay in all Retraining activities, **whether or not such Retraining was completed**. These terminees may or may not have received Basic Readjustment Services. The sum of Lines 37 and 38 should equal Line 36.

Note: Terminees who have received retraining activity funded under a cooperative agreement with : (1) other JTPA monies (i.e. 3%, 8%, Title II etc.) or (2) other than JTPA funds may be counted in Lines 36-41, PROVIDED SUCH TRAINING WAS FOR THE COMPLETION OF THE INITIALLY DETERMINED TRAINING OBJECTIVE.

Line 39 Completed Classroom Training: Basic Education or Attained GED
Line 40 Completed On-the-Job Training
Line 41 Completed Other Occupational Skills Training

Enter the total number of terminees for which each of these Retraining completion/attainment classifications apply. A terminee should be included in **all** appropriate categories.

NOTE: Basic Education in Line 39 includes remedial reading, writing, mathematics and/or English for non-English speakers. Attainment of a GED or a high school diploma upon completion of any training also should be included. (A terminee may be counted only once in this line item, as appropriate.)

Appendix A

Follow-up Guidelines

To ensure consistent data collection and as accurate information as possible, procedures used to obtain follow-up information must satisfy the following criteria:

- Participant contact should be conducted by telephone or in person. Mail questionnaires may be used in those cases where an individual does not have a telephone or cannot be reached.
- Participant contact must occur as soon as possible after the 13th full calendar week after termination but no later than the 17th calendar week after termination.
- Data reported are to reflect the individual's labor force status and earnings during the 13th full calendar week after termination and the number of weeks s/he was employed throughout the 13-week period after termination.
- Interview questions developed by DOL (see following Exhibit) must be used to determine the follow-up information reported on the WAPR. Respondents must be told that responding is voluntary and that information provided by them will be kept confidential. Other questions may be included in the interview. Attitudinal questions may precede DOL questions, but questions related to employment and earnings must follow.
- Attempts must be made to contact all individuals unless terminee populations are large enough to use sampling.
- At least six attempts may need to be made to contact enough individuals in the follow-up group to obtain the required response rate.
- For each SSA and for Statewide and National Reserve reports (WAPR), minimum response rates of 70% are required for each of the following two groups of dislocated workers: those who entered employment at termination and those who did not enter employment at termination. The response rate is calculated as the number of terminees with complete follow-up information divided by the total number of terminees included in the group eligible for follow-up.

EXHIBIT

Minimum Postprogram Data Collection Questions

A. I want to ask you about the week starting on Sunday, ______, and ending on Saturday, ________, which was (last week/two/three/four weeks ago).

1. Did you do any work for pay during that week?

    ______ Yes [Go to 2]

    ______ No [Go to C]

2. How many hours did you work in that week?

    ______ Hours

3. How much did you get paid per hour in that week?

    ______ Dollars per hour

4. How much extra, if any, did you earn in that week from tips, overtime, bonuses, commissions, or any work you did on the side, before deductions?

    ______ Dollars

B. Now I want to ask you about the entire 13 weeks from Sunday, ________, to Saturday, ________.

5. Including the week we just talked about, how many weeks did you work at all for pay during the 13-week period?

    ______ Weeks [Go to end]

ALTERNATIVE QUESTIONS

C. If answered "NO" to Question 1:

Now I want to ask you about the entire 13 weeks from Sunday, ________, to Saturday, ________.

6. Did you do any work for pay during that 13-week period?

    ______ Yes [Go to 7]

    ______ No [Go to end]

7. How many weeks did you do any work at all for pay during that 13-week period?

Terminee Populations for Follow-up

Each program (SSA, Governor's Reserve, Secretary's National Reserve) in EDWAA is responsible for conducting a follow-up of all or a sample of participants who have terminated from that program.

The "universe" of terminees for the follow-up includes all participants who terminated from a program. Those participants who may have been concurrent participants in more than one JTPA title/EDWAA program will be in the universe for each.

When selecting a sample from the universe, each title/program will be treated separately, so that an individual who had been a concurrent participant might be selected in one sample but not another. This, however, does not preclude the possibility that the participant might be selected in more than one sample. In the event that a concurrent participant has been selected in more than one sample, the responses collected from a single interview may be shared among the different titles/programs to avoid the necessity of multiple interviews with the same individual.

When an individual who has terminated from one title/program and subsequently become a participant in another program (i.e., not a concurrent participant) is selected in the sample for both titles/programs, separate interviews must be conducted. Further, if an individual is selcted in one sample and is a participant in another title/program at the time of the inverview, regular follow-up information should be determined and recorded.

Sampling Procedures

Where sampling is used to obtain participant contact information, it is necessary to have a system which ensures consistent random selection of sample participants from all terminees in the group requiring follow-up.

- No participant in the follow-up group may be arbitrarily excluded from the sample.
- Procedures used to select the sample must conform to generally accepted statistical practice, e.g., a table of random numbers or other random selection techniques must be used.
- The sample selected for contact must meet minimum sample size requirements indicated in Table 1.

The use of sampling will depend on whether the terminee populations are large enough to provide estimates which meet minimum statistical standards. If the number of terminees for whom follow-up is required is less than 138, sampling cannot be used. In such cases attempts must be made to contact all the appropriate terminees.

Table 1

MINIMUM SAMPLE SIZES FOR FOLLOW-UP

Number of Terminees in Follow-up Population	Minimum Sample Size	Sampling Percentages
1 - 137	All	100
138 - 149	137	94
150 - 159	143	92
160 - 169	149	89
170 - 179	154	87
180 - 189	159	85
190 - 199	164	84
200 - 224	175	82
225 - 249	185	78
250 - 274	194	74
275 - 299	202	71
300 - 349	217	67
350 - 399	229	62
400 - 449	240	57
450 - 499	250	53
500 - 599	265	50
600 - 749	282	44
750 - 999	302	38
1,000 - 1,499	325	30
1,500 - 1,999	338	22
2,000 - 2,999	352	17
3,000 - 4,999	364	12
5,000 or more	383	7.3

Minimum Sample Sizes for Follow-up

To determine the minimum number of terminees to be included in the follow-up sample, refer to Table 1 in the following instructions. Find the row in the left-hand column that contains the planned number of dislocated worker terminees. The required minimum sample size is given in the middle column of that row. The last column gives sampling percentages that will assure that the minimum sample size is obtained.

Correcting for Differences in Response Rates

Different response rates for those terminees who entered employment at termination and those who did not are expected to bias the performance estimates because those who entered employment at termination are more likely to be employed at follow-up. It is assumed that those who were employed at termination are easier to locate than those who were unemployed because the interviewer has more contact sources (e.g., name of employer). The resulting response bias can artificially inflate performance results at follow-up.

To account for this problem, separate response rates should be calculated for those who were employed at termination and for those who were not.

If the response rates of those employed at termination and those not employed differ by more than 5 percentage points, then the "Worksheet for Adjusting Follow-up Performance Measures" in the Follow-up Technical Assistance Guide must be used to correct the follow-up measures.

Appendix B

Definitions of Terms Necessary for Completion of Reports

EMPLOYMENT/TRAINING SERVICES

ASSESSMENT -- services are designed to **initially** determine each participant's employability, aptitudes, abilities and interests, through interviews, testing and counseling to achieve the applicant's employment related goals.

FOLLOW-UP -- is the collection of information on a terminee's employment situation at a specified period after termination from the program.

INTAKE -- includes the screening of an applicant for eligibility and: (1) a determination of whether the program can benefit the individual; (2) an identification of the employment and training activities and services which would be appropriate for that individual; (3) a determination of the availability of an appropriate employment and training activity; (4) a decision on selection for participation and (5) the dissemination of information on the program.

OUTREACH -- activity involves the collection, publication and dissemination of information on program services directed toward economically disadvantaged and other individuals eligible to receive JTPA training and support services.

EDUCATION STATUS

LESS THAN HIGH SCHOOL -- An adult or youth: (1) who is not attending school full-time and has not received a high school diploma or a GED certificate; or (2) who has not received a high school diploma or GED certificate and is **enrolled full-time in an elementary, secondary or postsecondary-level vocational, technical, or academic school** or is between school terms and intends to return to school.

HIGH SCHOOL GRADUATE OR EQUIVALENT (No Post-High School) -- An adult or youth who has received a high school diploma or GED Certificate, but who has not attended any postsecondary vocational, technical, or academic school.

POST HIGH SCHOOL ATTENDEE -- An adult or youth who has received a high school diploma or GED certificate and **has attended (or is attending)** any postsecondary-level vocational, technical, or academic school.

COLLEGE GRADUATE -- A terminee who has received a degree (usually a BA or BS) conferred by a four-year college, university or professional school or an advanced degree from one of these institutions.

FAMILY STATUS

SINGLE HEAD OF HOUSEHOLD -- A single, abandoned, separated, divorced or widowed individual who has responsibility for one or more dependent children under age 18.

RACE/ETHNIC GROUP

WHITE (NOT HISPANIC) -- A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

BLACK (NOT HISPANIC) -- A person having origins in any of the black racial groups of Africa.

HISPANIC -- A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin (including Spain), regardless of race. NOTE: Among persons from Central and South American countries, only those who are of Spanish origin, descent, or culture should be included in the Hispanic category. Persons from Brazil, Guiana, and Trinidad, for example, would be classified according to their race, and would not necessarily be included in the Hispanic category. Also, the Portugese should be excluded from the Hispanic category and should be classified according to their race.

AMERICAN INDIAN OR ALASKAN NATIVE -- A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

ASIAN OR PACIFIC ISLANDER -- A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan), or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa. Hawaiian natives are to be recorded as Asian or Pacific Islanders.

OTHER BARRIERS TO EMPLOYMENT

LIMITED ENGLISH LANGUAGE PROFICIENCY -- Inability of an applicant, whose native language is not English, to communicate in English, resulting in a job handicap.

HANDICAPPED INDIVIDUAL -- Any individual who has a physical or mental disability which for such individual constitutes or results in a substantial handicap to employment. NOTE: This definition includes disabled veterans for reporting purposes.

READING SKILLS BELOW 7th GRADE LEVEL -- An adult or youth assessed as having English (except in Puerto Rico) reading skills below the 7th grade level on a generally accepted standardized test.

NOTE: The following other methods of determination may be used:

- ° A school record of reading level determined within the last 12 months.
- ° If an applicant is unable to read and therefore cannot complete a self-application for the JTPA/EDWAA program, s/he may be considered to have English reading skills below the 7th-grade level.
- ° Individuals with any of the following may be considered to have English reading skills above the 7th-grade level:
    - A GED certificate received within the last year.
    - A degree (usually a BA or BS) conferred by a 4-year college, university or professional school.

If there is any question regarding reading ability, a standardized test should be administered.

BENEFITS STATUS

UNEMPLOYMENT COMPENSATION CLAIMANT -- Any individual who has filed a claim and has been determined monetarily eligible for benefit payments under one or more State or Federal unemployment compensation programs, and who has not exhausted benefit rights or whose benefit year has not ended.

LABOR FORCE STATUS

UNEMPLOYED: 15 OR MORE WEEKS OF PRIOR 26 WEEKS -- An individual who is unemployed at the time of eligibility determination and has been unemployed for any 15 or more of the 26 weeks immediately prior to such determination, has made specific efforts to find a job throughout the period of unemployment, and is not classified as "Not in Labor Force".

VETERAN STATUS

VETERAN -- An individual who served in the active military, naval, or air service (of the U.S.), and who was discharged or released therefore under conditions other than dishonorable.

NOTE: The term "active" means full-time duty in the Armed Forces, other than duty for training in the reserves or

National Guard. Any period of duty for training in the reserves or National Guard, including authorized travel, during which an individual was disabled from a disease or injury incurred or aggravated in the line of duty, is considered "active" duty.

VIETNAM-ERA VETERAN -- A veteran, any part of whose active military, naval, or air service occurred between August 5, 1964 and May 7, 1975.

PROGRAM COSTS

ACCRUED EXPENDITURES -- The allowable charges incurred during the program year to date requiring provision of funds for: (1) goods and other tangible property received; and (2) costs of services performed by employees, contractors, subrecipients, and other payees.

NOTE: These charges do not include "resources on order", i.e., amounts for contracts, purchase orders and other obligations for which goods and/or services have not been received.

RETRAINING ACTIVITY

BASIC EDUCATION -- Includes remedial reading, writing, mathematics and/or English for non-English speakers.

OCCUPATIONAL SKILLS TRAINING -- Includes vocational education which is designed to provide individuals with the technical skills and information required to perform a specific job or group of jobs. For reporting purposes excludes On-the-Job Training.

ON-THE-JOB TRAINING -- Is training in the public or private sector given to an individual, who has been hired first by the employer, while s/he is engaged in productive work which provides knowledge or skills essential to the full and adequate performance of the job.

Appendix C

Example of State Follow-up Questionnaire

New Hampshire Follow-up Questionnaire*

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* New Hampshire follow-up is conducted by Employment Training Institute (ETI).

HELLO, MAY I SPEAK WITH _______? **(Name on cover sheet)**

HELLO, MY NAME IS _____ **(first and last).** I'M TAKING A SURVEY FOR THE NEW HAMPSHIRE JOB TRAINING COUNCIL AND -

...I WOULD LIKE TO ASK YOU SOME QUESTIONS ABOUT THE JTPA PROGRAM AND SEE WHAT YOU HAVE BEEN DOING SINCE YOU LEFT THE PROGRAM.

(For those who received a letter)

...WITHIN THE LAST WEEK OR SO, YOU SHOULD HAVE RECIEVED A LETTER EXPLAINING THE PURPOSE OF THIS SURVEY.

(For DES clients)

...I'D LIKE TO ASK YOU A FEW QUESTIONS ABOUT WHAT YOU HAVE BEEN DOING SINCE YOU WORKED WITH THE EMPLOYMENT SERVICE IN FINDING A JOB.

WHAT YOU SAY IS VERY IMPORTANT TO US. YOUR ANSWERS WILL BE SUMMARIZED ALONG WITH HUNDREDS OF OTHERS TO HELP IMPROVE NEW HAMPSHIRE'S JOB TRAINING PROGRAMS. [ALL OF YOUR ANSWERS WILL BE KEPT CONFIDENTIAL.]

(If respondent doesn't recognize or admit that he/she was enrolled in a Job Training Program, continue with Question 1.)

(If respondent indicates that this is an inconvenient time, make an appointment to call him/her back.)

SECTION 1 - DOL REQUIRED!

A. I WANT TO ASK YOU ABOUT THE WEEK STARTING ON SUNDAY, ___/___/___, AND ENDING ON SATURDAY, ___/___/___ WHICH WAS (LAST WEEK - 2 - 3 - 4 WEEKS AGO).

① DID YOU DO ANY WORK FOR PAY DURING THAT WEEK?

Yes ____
No ____ **(Go to Part C)**

101 ______

(1A) HOW MANY HOURS DID YOU WORK THAT WEEK?

_____ **Hours**

② HOW MUCH DID YOU GET PAID PER HOUR IN THAT WEEK?

$_____ Dollars per hour

102 **$______ Total Weekly Earnings.**

(2A) HOW MUCH EXTRA, IF ANY, DID YOU EARN IN THAT WEEK FROM TIPS, OVERTIME, BONUSES, COMMISSIONS OR ANY WORK YOU DID ON THE SIDE, BEFORE DEDUCTIONS?

102A **$_____ Dollars**

B. NOW I WANT TO ASK YOU ABOUT THE ENTIRE 13 WEEKS FROM SUNDAY, ___/___, TO SATURDAY, ___/___.

③ INCLUDING THE WEEK WE JUST TALKED ABOUT, HOW MANY WEEKS DID YOU WORK AT ALL FOR PAY DURING THE 13 WEEK PERIOD?

103 _____ **Weeks**

C. **If no to question 1:** NOW I WANT TO ASK YOU ABOUT THE ENTIRE 13 WEEKS FROM SUNDAY, ___/___, TO SATURDAY, ___/___.

④ DID YOU DO ANY WORK FOR PAY DURING THE 13 WEEK PERIOD?

Yes ____ **(Go to Q. 5)**
No ____

104 ______

⑤ HOW MAY WEEKS DID YOU DO ANY WORK AT ALL FOR PAY DURING THAT 13 WEEK PERIOD?

105 _____ **Weeks**

⑥ MAY I HAVE YOUR DATE OF BIRTH FOR OUR RECORDS

106 ____/___/___

SECTION 2 - OPINIONS ABOUT THE JOB TRAINING PROGRAM

NOW I'D LIKE TO ASK YOU SOME QUESTIONS ABOUT YOUR EXPERIENCE WITH THE NEW HAMPSHIRE JOB TRAINING PROGRAM.

⑦ HOW DID YOU FIND OUT ABOUT THE PROGRAM?

1 - Friend/relative told me
2 - Saw advertisement in paper
3 - Welfare worker
4 - School counselor
5 - Vocational Rehabilitation Counselor
6 - Employment Service Counselor
7 - Other ______________________________

207 _____

⑧ WHAT WAS THE MAIN REASON WHY YOU ENROLLED IN THE PROGRAM?

1 - To get a job
2 - To learn a skill or trade
3 - To get a better job
4 - To get a GED (High School Equivalency Diploma)
5 - To get off Welfare
6 - Other ______________________________

208 _____

⑨ OVERALL, HOW WOULD YOU RATE YOUR EXPERIENCE IN THE NEW HAMPSHIRE JOB TRAINING PROGRAM? WOULD YOU SAY IT WAS ...

1 - Excellent 2 - Good 3 - Only Fair 4 - Poor 5 - No Opinion

209 _____

NOW I'D LIKE YOU TO GIVE ME YOUR OPINION ABOUT SEVERAL ASPECTS OF THE PROGRAM.

⑩ THE FIRST IS THE PROCESS OF APPLYING FOR AND GETTING IN THE PROGRAM. DO YOU FEEL IT WAS ...

1 - Excellent 2 - Good 3 - Only Fair 4 - Poor 5 - No Opinion

210 _____

11 **(If Poor)** WHY DO YOU FEEL THAT WAY? ______________________________

211 ____

⑫ NEXT, THE PROCESS OF EVALUATING YOUR SKILLS AND PREPARING A SPECIFIC TRAINING PLAN FOR YOU. DO YOU FEEL IT WAS...

1 - Excellent 2 - Good 3 - Only Fair 4 - Poor 5 - No Opinion

212 _____

13 **(If Poor)** WHY DO YOU FEEL THAT WAY? ______________________________

213 ______________________________

⑭ HOW ABOUT THE QUALITY OF TRAINING YOU RECEIVED (FROM THE PROGRAM/FROM YOUR EMPLOYER? WAS IT...

1 - Excellent 2 - Good 3 - Only Fair 4 - Poor 5 - No Opinion

214 _____

15 **(If Poor)**
WHY DO YOU FEEL THAT WAY? ______________________________

215 ______________________________

⑯ **(If OJT and if worked during referenced week)**
ARE YOU STILL WITH THE SAME EMPLOYER?

Yes ____ **(Go to Q. 19)**
No ____

216 _____

⑰ HOW WAS THE HELP IN FINDING A JOB AFTER YOU COMPLETED THE PROGRAM? WAS IT...

1 - Excellent 2 - Good 3 - Only Fair 4 - Poor 5 - No Opinion

217 _____

18 **(If Poor)** WHY DO YOU FEEL THAT WAY? ______________________________

218 ______________________________

⑲ HOW WAS THE HELP YOU RECEIVED FROM THE JOB TRAINING STAFF WHILE YOU WERE IN THE PROGRAM? WAS IT...

1 - Excellent 2 - Good 3 - Only Fair 4 - Poor 5 - No Opinion

219 _____

20 **(If Poor)** WHY DO YOU FEEL THAT WAY? ______________________________

220 ______________________________

㉑ OVERALL, WOULD YOU SAY THAT THE HELP YOU RECEIVED FROM THE JOB TRAINING PROGRAM HAS IMPROVED YOU ABILITY TO FIND AND KEEP A JOB?

1 - Yes 2 - No 3 - Don't Know

221 _____

㉒ WHAT WAS THE BEST PART OF THE JOB TRAINING PROGRAM IN YOUR OPINION?

222 ____

(23) WHAT'S THE ONE THING THAT YOU WOULD LIKE TO SEE CHANGED IN THE PROGRAM?

Codes for What you would like to see changed in the program:

1 - "Don't Know"
2 - "Nothing" (If followed by substantive response, code it)
3 - Better instruction/teachers
4 - Longer courses/programs
5 - Provide more financial support during training (e.g., more pay, better pay)
6 - Other ______________________________

223 _____

SECTION 3 - WORK HISTORY

NOW I'D LIKE TO ASK YOU SOME QUESTIONS ABOUT ANY JOBS YOU HAVE HELD SINCE LEAVING THE PROGRAM.

(24) **(If employed during reference week:)**
ARE YOU STILL EMPLOYED?

(If unemployed during reference week:)
ARE YOU CURRENTLY WORKING?

Yes _____
No _____ **(Go to Page 7, Q. 30)**

324 _____

(25) WHAT IS THE NAME OF THE COMPANY THAT YOU ARE WORKING FOR?
(If more than one employer, list Primary Employer)

325 ______________________________

(26) WHAT KIND OF WORK DO YOU DO?
(Probe) WHAT ARE YOU MOST IMPORTANT DUTIES:

326A Title: ______________________________

326B DOT Code: _______________

(27) DO YOU WORK FULL TIME OR PART TIME? _______

327 _____

(28) HOW MANY HOURS PER WEEK DO YOU WORK? **(If range, give midpoint)**

_____________ hours

328 _____

㉙ HOW MUCH ARE YOU MAKING PER HOUR?

329 $________

㉚ HOW MANY DIFFERENT JOBS HAVE YOU HELD SINCE LEAVING THE PROGRAM?

330 ____ **(If Zero, go to Page 8, Q. 55)**

[Complete the following Job Profile for up to 3 jobs, starting with most recent (not current) job]

MOST RECENT
331 JOB TITLE ________________________________
332 DOT CODE ________

333 START DATE ___/___/___
334 END DATE ___/___/___
335 DURATION __________ Days - Weeks - Months

336 HOURLY WAGE $______

337 1 - FULL TIME / 2 - PART TIME ____

338 REASON FOR LEAVING ____ ________________________________

NEXT MOST RECENT
339 JOB TITLE ________________________________
340 DOT CODE ________

341 START DATE ___/___/___
342 END DATE ___/___/___
343 DURATION ______ Days - Weeks - Months
344 HOURLY WAGE $________
345 1 - FULL TIME / 2 - PART TIME ______

346 REASON FOR LEAVING ____ ________________________________

NEXT MOST RECENT
347 JOB TITLE ________________________________
348 DOT CODE ________
349 START DATE ___/___/___
350 END DATE ___/___/___
351 DURATION ______ Days - Weeks - Months
352 HOURLY WAGE $________
353 1 - FULL TIME / 2 - PART TIME ______

354 REASON FOR LEAVING ____ ________________________________

REASON FOR LEAVING CODES:
1 - Laid off
2 - Fired
3 - Did not like work
4 - Not enough pay
5 - Too hard to get there (transp.)
6 - Company went out of business
7 - Did not like supervisor
8 - Company moved
9 - Decided to return to school/training
10 - Found a better job
11 - Health reasons

SECTION 4 - MISCELLANEOUS

(Ask Questions 55 to 59 only if currently unemployed.)

(55) ARE YOU CURRENTLY LOOKING FOR A JOB?

Yes ____ **(Go to Q. 57)**
No ____

455 ______

(56) WHAT IS THE MAIN REASON THAT YOU ARE NOT LOOKING FOR A JOB?

1 - Pregnant/responsible for child care
2 - Returning to school/training
3 - Health
4 - On temporary Lay-off
5 - Moving from area
6 - Waiting for new job to start
7 - Have no transportation
8 - Can't find a job/have given up
9 - Other ______________________________

456 ______ **(Go to Q. 60)**

(57) WHAT TYPE OF JOB ARE YOU LOOKING FOR?

457A Title: ____
457B DOT Code ________

(58) HOW ARE YOU GOING ABOUT LOOKING FOR A JOB?

1 - Looking in the newspapers
2 - Employment Service
3 - Private employment agency
4 - Asking friends
5 - New Hampshire Job Training Council
6 - Other ______________________________

458 ____

(59) IN LOOKING FOR A JOB, HAVE YOU BEEN ABLE TO USE THE JOB SEARCH TECHNIQUES OFFERED BY THE NEW HAMPSHIRE JOB TRAINING COUNCIL OR NOT?

1 - Yes 2 - No 3 - Don't Know

459 ____

⑥⓪ HAVE YOU ATTENDED A SCHOOL OR TRAINING PROGRAM SINCE LEAVING THE NEW HAMPSHIRE JOB TRAINING PROGRAM?

Yes _____
No _____ **(Go to Q. 62)**

460 _____

⑥① WHAT TYPE OF SCHOOL OR TRAINING PROGRAM WAS IT?

461 ____

⑥② MANY PEOPLE RECEIVE FINANCIAL SUPPORT FROM GOVERNMENT PROGRAMS, SUCH AS FOOD STAMPS, MEDICARE, UNEMPLOYMENT INSURANCE, OR WELFARE. ARE YOU RECEIVING ANY TYPE OF GOVERNMENT FINANCIAL SUPPORT?

Yes _____
No _____ **(Go to Q. 64)**

462 _____

⑥③ WHAT KINDS OF ASSISTANCE ARE YOU RECEIVING?
(Code all responses)

1 - Food Stamps
2 - Welfare
3 - Unemployment Insurance
4 - Medicaid
5 - Day Care Assistance
6 - Housing Subsidies
7 - Other ____________________________

463 _____

⑥④ WOULD YOU RECOMMEND THE JOB TRAINING PROGRAM TO A FRIEND OR RELATIVE?

1 - Yes ____ 2 - No ____ 3 - Don't Know ____

464 _____

⑥⑤ THANK YOU FOR YOUR HELP ON THIS SURVEY. WE'LL BE CALLING YOU AGAIN IN 3 MONTHS TO ASK YOU A FEW SHORT QUESTIONS ABOUT YOUR EMPLOYMENT. DO YOU EXPECT TO BE AT THE SAME TELEPHONE NUMBER?

1 - Yes _____ "THANK YOU AND GOODBYE."
2 - No _____ **(Go to Q. 66)**
3 - Don't Know _____ **(Go to Q. 66)**

465 _____

⑥⑥ WOULD YOU PLEASE GIVE US A PHONE NUMBER WHERE WE WILL DEFINITELY BE ABLE TO REACH YOU A FEW MONTHS FROM NOW? FOR EXAMPLE, THE PHONE NUMBER OF A FRIEND OR RELATIVE WHO WOULD KNOW WHERE WE COULD REACH YOU?

466 Phone No. ____________________ **or** ____________________

Appendix D

Sample RFP for Follow-Up Contractor[*]

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[*] This sample RFP was adapted from RFPs used by the State of South Carolina, Budget and Control Board, Division of General Services; and by the Rhode Island Job Training Partnership Act Office.

Job Training Partnership Act Office

Request for Proposal

1. Proposal Requested

The [State/SDA agency] seeks proposals from qualified contractors for conducting a **13-week follow-up of JTPA participants**. Work will include weekly telephone (or in person) interviews, mail questionnaire follow-up as required, data entry and verification, data analysis, and quarterly report preparation. The proposal must demonstrate that the follow-up activities meet the requirements of the U.S. Department of Labor Job Training Partnership Act data collection and reporting requirements, as specified in the Technical Assistance Guide for Follow-Up and Validation (Attachment 1). Proposals will be evaluated on the basis of adherence to DOL requirements, bid specifications, technical approach, related experience, and cost.

2. Response Deadline

Proposals are to be submitted to the [State/SDA agency] no later than [time, date]. [Number of copies] of the proposal must be addressed to the attention of [name, address]. Interested bidders are invited to attend a preproposal conference on [time, date] at [agency, address]. Call [phone number] to confirm attendance or for additional information.

3. Eligible Bidders

Any governmental, non-profit, or private for-profit organization may apply. However, organizations that administer or operate JTPA programs serving Title II-A, or EDWAA participants in [State, SDA] are not eligible.

4. Narrative Instructions

The proposal narrative should explain how the bidder will provide the services requested in this RFP. In addition, it should demonstrate the bidder's applicable experience and ability to complete the survey research work required. All information presented in the proposal should respond clearly and concisely to the proposal specifications and should demonstrate that the bidder understands and is capable of fulfilling the responsibilities outlined in Section 6.

5. Period of Performance

The contract will be for a twelve (12) month period beginning [start date] and ending [end date]. The [State/SDA agency] may extend the contract if it appears to be in the best interest of the State/SDA and is agreeable with the Contractor. Such an extension may be less than, but will not exceed [maximum number]. The maximum contract per year is [$ amount].

6. **Contractor Responsibilities**

a. **Select and Train Interviewers and Supervising Staff**

The contractor has sole responsibility for selecting staff and for training and supervising staff in locating sample members, conducting interviews, recording contact attempts and results. The contractor must provide the [State/SDA agency] with the names and qualifications of staff assigned to the project, and their position titles and social security numbers.

b. **Schedule Interviews**

The contractor must develop and follow a schedule for conducting interviews that meets with the DOL guidelines. Interviews must be conducted between the 14th and 17th weeks following termination from JTPA.

c. **Conduct Interviews**

- Multiple attempts must be made and documented to contact each individual in the sample. Attempts will include telephoning the terminee at various times of day, telephoning the backup contacts, using directory assistance resources, and where necessary contacting other resources such as the JTPA service provider or last-known employer.
- The contractor must make arrangements to receive return telephone calls on a toll-free (800 number) or collect basis from terminees in the sample.
- The contractor must send letters and questionnaires to terminees in the sample who cannot be located by the end of the [--th week] after termination.
- Interviews must be conducted directly with the terminee. Noone else (e.g., relatives, friends) may provide answers to the follow-up questions, although they may provide assistance in locating the terminee.

d. **Record and Verify Data**

The contractor will record contact attempts and responses to follow-up questions on the interview form following the coding scheme provided. The contractor will double enter the data into the MIS to ensure accuracy and validity.

e. **Achieve Minimum Response Rates**

The contractor will achieve a 70% or better response rate for each of the following terminee groups:

- Title II-A Adults in each SDA - employed at termination
- Title II-A Adults in each SDA - not employed at termination
- Title II-A Adult Welfare Recipients in each SDA - employed at termination
- Title II-A Adult Welfare Recipients in each SDA - not employed at termination
- EDWAA Participants in each SSA - employed at termination
- EDWAA Participants in each SSA - not employed at termination

f. **Validate Responses to Ensure Accurate Data**

The contractor will verify that each respondent has been contacted by providing the respondent's date of birth. This date will be checked with [State/SDA] MIS records.

In addition, the contractor will propose specific methods to ensure the accuracy and validity of the follow-up information collected, including monitoring, supervisory, and other appropriate approaches.

g. **Report Follow-Up Data**

- The contractor will report response rates for each of the groups listed in above on a [specify period] basis. Each [specify period] the contractor will transmit the follow-up data in the form of [MIS format] and submit the completed interview forms and any incomplete forms for individuals who have not mailed back responses by the end of the 18th week after termination.
- At the end of each quarter, the contractor will provide summary follow-up reports for the [State/each SDA] for each participant category (Title II-A Adults, Title II-A Welfare Adults, EDWAA). Reports should include at a minimum the following information:

  (1) Terminees in the sample
  (2) Terminees contacted (by telephone/by mail)

(3) Response rates for each group - employed at termination and not employed at termination
(4) % terminees employed at follow-up - employed at termination and not employed at termination
(5) For Title II-A/JASR, average weekly earnings during 13th week (of employed terminees) - employed at termination and not employed at termination (For EDWAA, average hourly wage)
(6) Average number of weeks worked during 13-week period - employed at termination and not employed at termination
(7) [Add any other follow-up information collected by State/SDA]

These reports will be sent to the [State/SDA--if State, also sent to each SDA].

7. **[State/SDA] Responsibilities**

a. **Select Follow-Up Sample**

The [State/SDA agency] will draw random, fixed-rate samples of JTPA participants whose enrollment terminated each calendar week, beginning with [start date] and ending with [end date]. Samples will be drawn for Title II-A Adults, Title II-A Welfare Adults, and EDWAA terminees.

The total weekly sample size is expected to average [#], but may vary from [range]. Approximately [#] of terminees will be followed-up each year.

b. **Provide Follow-Up Questionnaire**

Attachment 2 is the follow-up interview form, suggested introduction, and acceptable probes.

c. **Provide List of Follow-Up Sample and Contact Information**

The [State/SDA agency] will provide a computer printout listing each terminee in the sample, and at least two backup contacts. This information will be provided at least two (2) weeks before follow-up contacts with that terminee are to start.

d. **Provide Additional Assistance in Locating Terminees**

The [State/SDA agency] will make arrangements for JTPA service providers and OJT employers to assist the contractor in locating terminees in the sample who cannot be reached during the first two (2) weeks of the follow-up period.

e. **Provide Technical Assistance**

The [State/SDA agency] will provide technical assistance to the contractor including the DOL follow-up requirements, training program descriptions, and a copy of the **Technical Assistance Guide for Follow-Up and Validation** (Attachment 1).

8. **Proposal Content**

The proposal should include the following components:

a. **Procedures for completing tasks outlined in Section 6 above**

b. **Capabilities of the contractor**

c. **Budget** with costs per contact, justified in terms of project activities and major expenditures.

9. **Selection Criteria**

Each proposal will be evaluated on the degree to which the contractor has addressed the specifications in this RFP, the related experience of the contractor, and the proposed budget.

Appendix E

How To Select a Random Sample

How to Select a Random Sample

The purpose of random sampling for the JTPA follow-up is to ensure that every terminee in each group sampled (II-A Adults, II-A Adult Welfare, III, and EDWAA) has an equal chance of being selected for the sample. The process of random sampling is straightforward, but requires care and accuracy to ensure that no bias is introduced.

The most conventional and efficient tool for selecting a random sample is a **random number table**. A sample random number table appears in Exhibit C.1. Similar tables are available in most introductory statistics books and in collections of scientific tables. Also, many computer systems provide a routine that calculates random numbers.

The special property of random numbers is that they are independent of each other. That is, each digit or number has an equal chance of being selected next, no matter what number was selected before. For example, if the first number selected is five, there would be an equal chance of getting any number next, including a five. Using a random number table to select a sample ensures that the selection of one terminee is just as likely to occur as the selection of another.

Several procedures may be used to select a random sample. Five procedures are described below. The first is automatically performed by the computer; the other four are manual.

Procedure 1 - Automated MIS Selection

Many MIS systems are capable of selecting random samples automatically. If these capabilities conform to generally accepted statistical practices for drawing samples, you can use them easily to select random samples for each group of terminees eligible for follow-up.

Exhibit E.1

Random Number Table

One thousand random digits

	Column number									
Line number	*1-10*		*11-20*		*21-30*		*31-40*		*41-50*	
1	48453	83321	51097	62267	11801	98016	16292	25447	13088	58586
2	28888	93145	99052	63201	42475	36791	34068	33291	35859	70556
3	00672	54389	94930	48359	88791	28612	91819	28478	38421	87848
4	16377	40682	06927	19063	78214	68719	36349	73057	53423	61178
5	62923	44829	53414	40567	90322	69965	74881	78501	69423	30561
6	87791	92166	04036	79327	36771	38182	19312	57882	46373	58787
7	84140	76746	92624	16333	69654	31164	09929	00856	53382	92281
8	93051	92816	19703	13278	21939	41750	46815	34755	84802	74573
9	86438	91275	89794	11268	82425	28264	59675	55166	38589	22255
10	65585	97847	50996	44998	20824	83918	23122	86252	58399	87874
11	79782	96739	40676	51209	01483	69407	37866	85225	15070	84730
12	77028	74590	39227	81418	04191	02715	90163	45956	77515	13251
13	96729	58766	88856	41533	60605	52564	53386	48399	80880	95670
14	29688	40534	94017	28728	16757	58906	08922	51430	09461	73608
15	06894	81782	73549	30787	00584	13065	91879	69108	58548	20338
16	22155	01471	38289	30201	69312	16013	53975	62224	80687	85778
17	38151	02407	78419	85166	42116	03059	15525	68969	60304	07692
18	47031	96935	15467	55925	13556	51354	13623	31167	82089	27590
19	62635	35059	95261	39375	75985	51099	78495	76524	49133	29303
20	31630	92345	59647	62634	56886	45408	79105	65756	39667	22319

Procedure 2

Step 1: Determine the proportion of terminees to be included in the sample. For example if the planned number of terminees is 1,700, the minimum sample size is 338. The proportion of terminees included in the sample is 338/1,700 = .199. If a decision has been made to oversample (i.e., draw more than 338 terminees) the proportion would be higher.

Step 2: Determine the number of terminees to be included in the sample for the period for which the sample is being drawn. For example, if in a month there are 104 terminees, and the sampling proportion is .199, the number in a monthly sample would be 104 X .199 = 21 (when rounded).

Step 3: Assign a 3- or 4- digit random number to each terminee eligible for follow-up. Note that the random number table is one long string of numbers. To select a series of 4-digit random numbers, randomly pick a starting point in the middle of the table. From that point, simply go through the list, four digits at a time.

Step 4: Reorder the list according to the assigned random numbers.

Step 5: Select as the sample the first **x** individuals on the list, where **x** is the desired sample size for the week or month. In the example above, the first 21 terminees would be selected.

Procedure 3

Step 1: Determine the proportion of terminees in the sample as in Step 1 of Procedure 2.

Step 2: Assign a 3-digit random number to each terminee eligible for follow-up for the week or month.

Step 3: Choose for the sample terminees whose random number is less than the sampling proportion times 1,000. For example, if the sampling proportion is .199, choose terminees with numbers between 000 and 198--that is, numbers less than .199 X 1,000 = 199.

Procedure 4

Step 1: Determine the proportion of terminees in the sample as in Step 1 of Procedure 2.

Step 2: Use the last three digits of the terminees' social security numbers to identify them.

Step 3: Choose a 3-digit random number, **r**. Select for the sample all terminees whose last three digits of their social security number are between **r** and **r** + (1,000 times the sampling proportion). For example, if the random number is 372 and the sampling proportion is .199, take all terminees whose last three digits are between 372 and (372 + 199 =) 571. If the random number plus (1,000 times the sampling proportion) is over 999, take terminees whose last three digits are above the random number and terminees whose last three digits are below the random number plus (1,000 times the sampling proportion) minus 1,000. For example, if the random number is 932, take all individuals from 932 to 999 and those from 000 to (932 + 199 - 1000 =) 131.

Procedure 5

Step 1: Order the terminees eligible for follow-up according to the last several digits of their social security numbers.

Step 2: Determine the ratio of the size of the group eligible for follow-up to the minimum sample size. Calculate the integer proportion for that ratio; call this integer **n**. For example, if total planned terminees is 1,700, the minimum sample size is 338 (from Exhibit 2.1), the ratio is 1,700/338 = 5.02, and the integer portion is 5.

Step 3: Randomly select a random number, **r** between 1 and **n**. Select for the sample the **r**th terminee in the ordered list and every **n**th terminee afterwards.

Appendix F

Selected Survey Research References

Selected Survey Research References

This list includes two groups of references designed to guide States, SDAs, and contractors involved in JTPA follow-up:

1. **general survey research references** - for guidance on overall design issues, methods of anaysis, and appropriate uses of the data collected.

2. **survey design and implementation references** - for guidance on specific techniques for collecting follow-up data collection.

General References

Babbie, Earl R. (1973). Survey research methods. Belmont, CA: Wadsworth Publishing Co.

Backstromm, Charles H. and Hursh-Cesar, Gerald (1982). Survey research, 2nd ed. New York: John Wiley and Sons.

Crano, William D. and Brewer, M. B. (1985). Principles of social research and evaluation. Boston: Allyn-Bacon.

Isaac, Stephen and Micahel, William B. (1981). Handbook in research and evaluation, 2nd ed. San Diego: Edits Publishers.

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Blankenship, A. B. (1978). Professional telephone surveys. New York: John Wiley & Sons.

Department of Manpower Development, Policy and Evaluation Division (December, 1981). Designing and implementing local follow-up systems, Parts I and II. Boston: Author.

Department of Manpower Development, Policy and Evaluation Division (June, 1980). Methods and strategies to locate and contact survey respondents: Technical assistance manual. Boston: Author.

Dillman, Don A. (1978). Mail and telephone surveys: The total design method. New York: John Wiley & Sons.

Fowler, Floyd J., Jr. and Mangione, Thomas W. (1990). Standardized Survey Interviewing: Minimizing Interviewer-Related Error. Newbury Park, CA: Sage Publications.

Frey, James H. (1983). Survey research by telephone. Beverly Hills: Sage Publicaionts.

Lewis, Morgan V. (1972). "Finding the hard-to-locate: A review of best practices." In Michael E. Borus (ed.), Evaluating the impact of manpower programs. Lexington, MA: Lexington Books, D.C. Heath and Co.

Sudman, Seymour and Bradburn, Norman M. (1982). Asking questions: A practical guide to questionnaire design. San Francisco: Jossey-Bass, Inc.

Warwick, Donald P. and Liniger, Charles A. (1975). The sample survey: Theory and practice. New York: McGraw-Hill.

Appendix G

Procedures to Adjust for Nonresponse Bias

Exhibit G.1

Worksheet to Calculate Differences in Response Rates

	I Size of Selected Sample	II Number of Completed Interviews	III Response Rate (Col II ÷ I)x100
1. Total **Title II-A Adults**			
a. Employed at Termination			
b. Not Employed at Termination			
c. Difference in Response Rates; if >5%, Go to Bias Adjustment Worksheet, and on to Part 2. if ≤5%, Go to part 2.			
2. **Title II-A Welfare Adults** (Includes welfare terminees contained in Total II-A Adult group, and any supplementary welfare terminees)			
a. Employed at Termination			
b. Not Employed at Termination			
c. Difference in Response Rates; if >5%, Go to Bias Adjustment Worksheet, and on to Part 3. if ≤5%, Go to part 3.			
3. Dislocated Workers (EDWAA)			
a. Employed at Termination			
b. Not Employed at Termination			
c. Difference in Response Rates; if >5%, Go to Bias Adjustment Worksheet. if ≤5%, Finalize caluclations.			

Exhibit G.1 (continued)

INSTRUCTIONS: **Worksheet to Calculate Differences in Response Rates**

1. In Column I (Size of Selected Sample) enter the number of terminees sampled for follow-up this Program Year for each group as indicated. This may be either the minimum required sample determined, a larger number, or the entire group of eligible terminees, as determined by the State or SDA.

2. In Column II (Number of Completed Interviews) enter the number of terminees with completed follow-up interviews for each sample group as indicated.

3. Divide the number of completed interviews, or respondents (Column II) by the sample size (Column I); then, multiply the result by 100 to calculate the response rate. Enter the response rate in Column III (Response Rate). Each of these response rates should be at least 70 percent.

4. Subtract the response rate for terminees who were not employed at termination (Line b) from the response rate for terminees employed at termination (Line a), and enter the difference on Line c for each sample as indicated.

Total Title II-A Adults

5. If the difference in response rates between II-A adults who were and were not employed at termination exceeds five (5) percentage points, use the adjustment worksheet provided (Exhibit G.2: Worksheet to Adjust Follow-Up Performance Measures for Nonresponse Bias) to calculate adjusted follow-up performance measures for this group.

6. If the difference in response rates is less than or equal to five (5) percentage points, then follow the simplified calculations contained in these instructions to compute the follow-up performance measures for this group. Adjusting for nonresponse bias is optional in this case.

7. Proceed to Parts 2 and 3.

II-A Adult Welfare and EDWAA/Title III Dislocated Workers:

8. The steps for Title II-A Adult Welfare and Total Adults and EDWAA/Title III Dislocated Workers are the same as those listed above.

Exhibit G.2 presents instructions for making adjustments where the difference in response rates between those who were employed and those who were not employed at termination **exceeds** five (5) percentage points. Instructions involve five basic entries, both for terminees employed and for terminees not employed at termination, taken from the State's or SDA's aggregated follow-up data:

1. The number of terminees eligible for follow-up for the Program Year. (**This figure is not the number entered in Column I on the Response Rate Worksheet in Exhibit G.1**, which is the number in the follow-up sample. Rather it is the total number of terminees eligible for follow-up from which the sample was drawn.)

2. The number of respondents (completed interviews) from the sample for the same period (This should correspond to the number entered in Column II on the Response Rate Worksheet.)

3. The number of respondents who were employed during the 13th follow-up week

4. The average gross weekly earnings for those respondents employed during the 13th follow-up week

5. The average weeks worked during the 13-week follow-up period for all respondents

Using these entries, you can make all of the remaining computations to adjust the follow-up performance measures for differences in response rates. Again, using this adjustment procedure is **optional** where the response rate differential is five percentage points or less.

Worksheet to Adjust Follow-up Performance Measures for Nonresponse Bias

Grant Recipient: Name Address City/Zip	ADULT & YOUTH PROGRAM ___ Title II-A Adults ___ Title II-A Adult Welfare ___ 6% Adults ___ 6% Adult Welfare	DISLOCATED WORKER PROGRAMS ___ Substate Area Program ___ State Programs ___ Sec'y National Reserve	Follow-ups Conducted From July 1, ___________(year) through ___________ (Report Date)

STATUS AT TERMINATION:	A. Number of Actual Terminees Eligible for Follow-up	B. Number of Completed Interviews	C. Number of Respondents Employed at Follow-up	D. Estimated Number of Terminees Employed: (A x C) / B	E. Average Weekly Earnings/ Hourly Wage of Respondents Employed at Follow-up	F. Estimated Weekly Earnings/ Hourly Wage of Employed Teminees: (E x D)	G. Average Weeks Worked in 13-Week Follow-up Period	H. Estimated Weeks Worked in 13-Week Follow-up Period: (A x G)
Employed								
Not Employed								
TOTALS:	I.			J.		L.		N.

ADJUSTED FOLLOW-UP MEASURES:

K.	M.	O.
EMPLOYMENT RATE: J / I X 100	AVERAGE WEEKLY EARNINGS (JASR)/ HOURLY WAGE (EDWAA): L / J	AVERAGE WEEKS WORKED: N / I

Contact Person: Telephone:	Signature of Authorized Official:	Date:

INSTRUCTIONS: **Worksheet to Adjust Follow-up Performance Measures for Non-Response Bias**

1. Check the performance group (Title II-A Adult or Adult Welfare, EDWAA) for which the adjustment is being made - in the upper left-hand corner.

2. In Column A, enter the number of terminees who were employed at termination, not employed at termination, and the sum of the two items, for the group eligible for follow-up.

3. In Column B, enter the number of terminees, for both those employed and those not employed at termination, for whom completed interviews were obtained at follow-up.

4. Enter the respective **follow-up** information for both sets of respondents in Columns C, E, and G, as follows:

Column C:	the number of respondents **employed** in the 13th follow-up week
Column E:	the average gross **weekly earnings** for those respondents employed in the 13th follow-up week
Column G:	the average **number of weeks worked** during the 13-week follow-up period, for **all** respondents

5. To calculate the adjusted follow-up employment rate:

   - Multiply the number eligible for follow-up (Column A) by the number of respondents employed at follow-up (Column C) separately for those who entered employment and those who did not enter employment at termination. Then divide the two products by the number of completed interviews in each group (Column B).

   - Enter the result in Column D for those who were and were not employed at termination.

   - Add the estimated number of employed in Column D and enter the total in Box J.

   - Divide the estimated number of employed terminees (Box J) by the total number of terminees eligible for follow-up (Box I), and multiply by 100 to obtain the **adjusted employment rate** at follow-up.

   - Enter the adjusted employment rate in Box K.

6. **To calculate the adjusted average gross weekly earnings**:

   - Multiply the average weekly earnings of employed respondents (Column E) by the estimated number of employed terminees (Column D), separately for those who entered and those who did not enter employment at termination.

   - Enter the result in Column F for both sets of terminees.

   - Sum the estimated earnings of employed terminees in Column F and enter the total in Box L.

   - Divide the estimated earnings of employed terminees (Box L) by the total estimated number of employed terminees (Box J) to calculate the **adjusted average gross weekly earnings** of terminees employed at follow-up.

   - Enter the adjusted average weekly earnings of employed respondents in Box M.

7. **To calculate the adjusted average number of weeks worked**:

   - Multiply the average number of weeks worked (Column G) by the number of terminees eligible for follow-up (Column A), separately for those who were and those who were not employed at termination.

   - Enter the result for both sets of terminees in Column H.

   - Add the estimated average number of weeks worked in the 13-week follow-up period and enter the result in Box N.

   - Divide the estimated total number of weeks worked in the follow-up period (Box N) by the total number of terminees eligible for follow-up (Box I) to obtain the adjusted average number of weeks worked.

   - Enter the adjusted average number of weeks worked in Box 0.

8. Finally, take the adjusted performance measures contained in Boxes K, M and O--for the Employment Rate, Average Earnings, and Average Weeks worked--and enter these on the appropriate lines on the JASR/WAPR.

Appendix H

Software to Support JTPA Follow-up

Software to Support JTPA Follow-up[*]

Overview

The main function of the Software to Support JTPA Follow-up is to provide:

- a script and automatic data entry form to be used by telephone interviewers conducting JTPA follow-ups.

To support follow-up interviewing, the software also provides the capabilities for:

- entering, or loading from a DOS file, participant information useful in the interview process
- archiving the interview results to a cumulative DOS file of follow-up data
- generating a JASR-like report, based on the archived follow-up interview data

The follow-up software does not include all functions related to follow-up, such as maintaining a log of contact attempts; and it is written for a limited range of hardware. Nevertheless, the software is intended to support the interview process and facilitate the collection and reporting of accurate and valid JTPA follow-up data.

The follow-up software is contained in a high density 5-1/4" diskette. American Institutes for Research (AIR) staff programmed the software, which is written as a run-time application in the Paradox2 database language. Paradox2 is published by Borland, Scott's Valley, California. The software can be run as a stand-alone system, on an IBM-compatible PC with a 80286 or 80386 processor, a hard disk, and a high density disk drive. (Although the software can also run on a 8088 processor, it operates quite slowly.)

The follow-up software is available on request from the DOL/ETA. To obtain a copy, please contact Steve Aaronson and his staff at 1-(202)-535-0687.

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[*] This software is provided by AIR, which prepared this TAG. Its use and application are not required by the DOL, and its availability does not constitute a DOL endorsement.

Loading the Software

To load the follow-up software, follow these steps:

1. Make a new directory called JTPACATI: **mkdir JTPACATI**
2. Enter the new directory: **cd JTPACATI**
3. Copy the follow-up program from the diskette provided onto your hard disk: **copy a:*.***
4. Type "followup": **followup**

The follow-up software menu screen will appear.

[**Note:** The software provided includes 25 sample cases, with **fictitious** names, social security numbers, demographic, and termination data. You can practice using the software, using these fictitious cases, then delete the cases when you are ready to enter your own JTPA database.]

The follow-up software, like the Paradox language in which it is written, provides a series of menu options. One option on the Main Menu is **Directions**, which supplements the information presented here in Appendix H. Reading these directions is recommended. Using the software will also familiarize you with a Paradox idiosyncracy: the ubiquitous use of the function key **F2** to proceed to the next step in a process. **When in doubt, Press F2. (Do not press Escape to leave the program or any menu option.)**

The main menu has the following options, which are described in turn below:

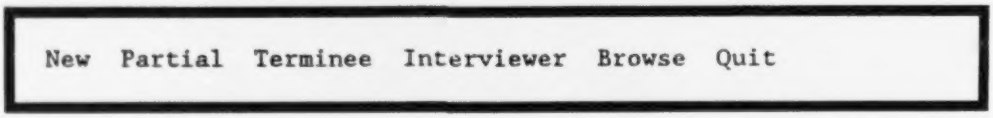
```
Main Menu

 Interview  Directions  Enter  Report  Archive  Quit
```

Interview

Select this menu option when you are ready to conduct a follow-up interview. The first step is to select the terminee you wish to interview next, and the system provides a menu for the method of selection.

Respondent Selection Menu



Prior to conducting interviews, information about JTPA terminees (at least their names, termination statuses, and termination dates) will have been entered or loaded, using the **Enter** option on the Main Menu. All terminees will have been marked "New," indicating that they have not yet been interviewed for the follow-up. When they are interviewed, their status changes to "Complete", or to "Partial" if the interview is begun but not completed.

New. Selecting **New** locates the first remaining "New" case and brings that terminee's record onto the screen. At this time, or any time during the interview, you can examine all of the available data on this terminee by pressing the "\" (backslash) key. The next step is to type the terminee's name and to call the terminee, using the telephone number on the screen.

Partial. Selecting **Partial** locates the first remaining partially completed case for interview. Otherwise it acts exactly like the **New** option.

Terminee. Selecting **Terminee** locates the first case with a terminee name matching the name you type in. Otherwise it acts exactly like the **New** option. (Be sure to type in the terminee's name exactly as it was entered in the database.)

Interviewer. Selecting **Interviewer** locates the first non-completed case in which the interviewer's name matches the name you typed in. For this option, it is expected that interviewers will have been pre-assigned using the **Enter** option on the Main Menu. After locating the appropriate case, the **Interviewer** option acts exactly like the **New** option. (Be sure to type in the interviewer's name exactly as it was entered in the database.)

Browse. Selecting **Browse** shows the entire Paradox follow-up table, which can be viewed using the keyboard cursor keys. You can select a particular terminee to interview or merely examine the existing records. If you wish to interview a particular terminee, you should place the cursor on the row in the table for that terminee, and type ";" (a semi-colon). If you wish to return to the menu instead, type "!" (an exclamation point).

Once in the **interview**, from whatever method of entry, you will see a series of screens. The software selects the proper sequence of screens, depending on the information given. You do not need to worry about the sequence. To exit the interview at any time, press **F2**.

On each interview screen, three types of information appear:

1. Background information appears in reverse capital letters.
2. The words to be read aloud during the interview appear in usual upper and lower case letters. The question wordings correspond to the wordings in this Guide.
3. Information to be typed on the keyboard before continuing is indicated with a cursor.

Note: For follow-up questions that require a Yes or No response (#1 and #6), type **Y** or **N** beside the appropriate response.

[**For programmers only:** The script that determines the sequence of screens is called "PATHWAY.SC". To change the sequence of screens, you can edit the script using a word processor. **Before editing the sequence, be sure that the old version is safely copied.** To implement the change you must issue the command "PDOXRUN2 PATHWAY" after editing PATHWAY.SC. However, before issuing that command, re-copy the file "DOLPROCS.LIB" from the original diskette.]

Directions

Selecting the **Direction** option brings up a series of screens with explanatory information about the other options available in the software. Press **Enter** for the next page, **PageUp** for the previous page, or **F2** to return to the previous menu.

Enter

Selecting the **Enter** option creates a table of participant information that can be accessed and updated during the follow-up interviews. This option should be selected on a periodic basis (e.g., weekly) when new cases are sampled for follow-up. The information can either be typed in by keyboard, or loaded from an ASCII (DOS) file that might be exported from your agency's MIS. You have the option of entering any or all of the information requested, and you can specify the layout for records in the DOS file. The only terminee information that is used to determine the sequence of follow-up questions is whether the <u>termination status</u> is "Placed" (coded "P") or not. Also, the <u>termination date</u> is used to determine the appropriate reference week(s) to refer to in the questions. Although other information is optional, omitting items, such as the participant's name, causes an awkward blank in the screen script for the interview.

Note that accessing a case under the **Enter** menu causes that case to be called New for interview purposes.

After selecting **Enter**, you will see the following menu, whose options are described below:

```
Enter Menu

 Save Current  Restore Table  Empty  Load from DOS  Type in Data  Quit
```

Save Current. Select this option to save the current follow-up table before proceeding. The table is saved as a dBase III file and must be given a **file name with the suffix ".dbf".** Because new information entered will write over the current follow-up, select this option when you want to be able to retrieve the current version of the follow-up table in the future.

Empty. Select this option to empty the current follow-up table before proceeding. **Be sure to save existing data (using the Save Current option) before using Empty.** If you merely want to add more information about the terminees (in the same sort order!), then it is not appropriate to empty the current follow-up table before proceeding. In all other cases, it is. (Use **Empty** when you are ready to remove the 25 fictitious cases provided with the software.)

The use of the dBase III file format for temporary storage of follow-up tables allows users with dBase III but not Paradox to make flexible use of the interview results. The system is oriented to handle follow-up interviews in batches (such as weekly batches). The **Archive** function (see page H-7), on the other hand, allows you to aggregate the results of multiple follow-ups in DOS files; and the **Report** function (see page H-6) makes use of the archived DOS files.

Restore Table. Select this option to restore a saved follow-up table before proceeding. The table is assumed saved as a dBase III file with suffix ".dbf".

Load from DOS. Select this option if you wish to load terminee information from an existing DOS file. If you choose this option, you will be asked to examine and alter the specifications of columns and lengths for various fields. If a particular field is not on the file, you should skip that specification. After making changes and pressing F2, you will be asked to enter the name of the DOS participant file that is the source of information. After entering the file name, the information will be loaded into the follow-up table. You can then add more information manually by selecting **Enter** and not emptying the table before proceeding to the **Type in Data** option.

Type in Data. Select this option to enter or change terminee data. In keying in data, you can repeat the value of the same field from the preceding case by typing "^" (carat).

The following fields provide terminee information:

Participant

Name
Telephone Number
Address, City, State, Zip
Social Security Number
Termination Status, Date
Termination Employer, Wage
Gender, Race, Age,
High school diploma?
Welfare recipient?

Other

Other Contact Name
Other Contact Phone
Training Program Name
Interviewing Agency Name
Interviewer's Name
Mail Notice Date

Report

By selecting **Report**, you can acquire the summary follow-up information needed for the JASR report. An ASCII (DOS) file created by the **Archive** function may accumulate results of batches over a prolonged period, such as quarterly or annually. After you specify the ASCII file, the follow-up software computes the summary statistics (sample size, response rate, follow-up employment rate, follow-up earnings, and follow-up weeks worked) for all cases and for cases that were welfare recipients. To comply with DOL regulations, the software automatically calculates the follow-up statistics and adjusts for the response-rate differential between participants placed and those not placed at termination.

[**For programmers only:** The computations can be reviewed by examining the script in the DOS file named "O.SC", the essential part of which is shown below.]

Script for JASR Follow-up Computations

```
afs=afsp+afsn wfs=wfsp+wfsn
if (afs)       > 0 then arr=round((100*(arrp+arrn)/(afsp+afsn)),1)
                   else arr=-1
                   endif
if (wfs)       > 0 then wrr=round((100*(wrrp+wrrn)/(wfsp+wfsn)),1)
                   else wrr=-1
                   endif
afer=round(100*(afsp*aep /arrp+afsn*aen /arrn)/
              (afsp*arrp/arrp+afsn*arrn/arrn),1)
wfer=round(100*(wfsp*wep /wrrp+wfsn*wen /wrrn)/
              (wfsp*wrrp/wrrp+wfsn*wrrn/wrrn),1)
afte=round((afsp*atep/aep+afsn*aten/aen)/
          (afsp*aep/aep +afsn*aen/aen ),0)
wfte=round((wfsp*wtep/wep+wfsn*wten/wen)/
          (wfsp*wep/wep +wfsn*wen/wen ),0)
afww=round((afsp*awwp/arrp+afsn*awwn/arrn)/
          (afsp*arrp/arrp+afsn*arrn/arrn),1)
wfww=round((wfsp*wwwp/wrrp+wfsn*wwwn/wrrn)/
          (wfsp*wrrp/wrrp+wfsn*wrrn/wrrn),1)

Notes:   The prefix "a" refers to all adults, "w" to welfare recipients.
         The suffix "p" refers to placed terminees, "n" to those not placed.
         "fs" is follow-up sample; "rr" is number or percentage of respondents;
         "fer" is follow-up employment rate; "fte" is follow-up earnings; and
         "fww" is follow-up weeks worked.  Division by zero yields zero.
```

Note that no distinction is made in this system between JTPA Title II-A and EDWAA. The system can be implemented on separate copies of the follow-up software for the different titles.

Archive

Selecting **Archive** on the Main Menu allows you to save the results of the follow-up by adding information to a specifiable DOS (ASCII) file. The follow-up software makes use of DOS ASCII files because the system is designed for an environment in which other software may be used for information management and reporting. After selecting **Archive**, type in the name of the DOS file to which information is to be added. Then select **J** (for JASR) or **N** (for Notes) to indicate where the information should be stored. Two kinds of information are stored on different files for use with other software:

1. For JASR reporting purposes, the follow-up responses are stored, along with the terminee's SSN, the date of the interview, and the interviewer's name. The only pre-follow-up information stored on this file is the information needed for the JASR computations: the termination status ("P" or other) and whether the terminee had been a Welfare Recipient at eligibility determination ("Y" or "N").

2. For other uses, a file is written with the terminee's SSN and three fields, on three successive records: "Notes" (a 240-byte field containing any information keyed by the interviewer, such as finding an error in termination information); "Problems" (a 240-byte field containing the terminee's response (if asked) to a question about problems obtaining employment); and "Advice" (a 240-byte field containing the terminee's response to a request for advice to improve the training program in the future).

In order for you to access the **Archive** option repeatedly for status updates, selecting the **Archive** function will not alter the condition of the current follow-up table. However, the information is added to the end of the DOS file named, so you must be careful not to add multiple copies of the information to the archive file. For example, you may delete or rename an existing archive DOS file before archiving another.

Quit

Selecting the **Quit** option exits the follow-up software program and returns you to DOS. All files remain intact, unless the hard disk crashes. Exiting from the follow-up software in any other way (e.g., by turning of the power) may lose some data.

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